



State of Alabama
Workforce Development
and
Wagner Peyser
Plan for
July 2007 - June 2008

OFFICE OF THE GOVERNOR

BOB RILEY
GOVERNOR



STATE OF ALABAMA

OFFICE OF WORKFORCE DEVELOPMENT

DR. TIM ALFORD
DIRECTOR

May 1, 2007

Ms. Janet Sten, Federal Coordinator for Plan Review and Approval
Employment and Training Administration
U.S. Department of Labor
Office of Workforce Investment
Division of Workforce Systems Support, Room S4231
200 Constitution Avenue, N.W.
Washington, D.C. 20210

Subject: State of Alabama Workforce Investment Act Title I-B Five-Year Plan
Modification for Program Years 2007 and 2008

Dear Ms. Sten:

We are pleased to forward for your review the State of Alabama Workforce Investment Act Title I-B Five-Year Plan Modification for Program Years 2007 and 2008 (July 1, 2007 – June 30, 2009). The Five-Year Plan Modification, which provides detail regarding emerging systems and programs fashioned to better align Alabama's workforce development systems with the dynamics of a demand-driven local, regional, and national economy, is prepared in accordance with Training and Employment Guidance Letter (TEGL) No. 13-06 specifications.

Much has been accomplished in Alabama under the Workforce Investment Act, yet more remains to be done. The continued development of a well-trained, well-educated Alabama labor pool is essential to sustain and expand the capacity for our continued economic growth.

Ms. Janet Sten
May 1, 2007
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Please contact Steve Walkley, Division Director, at (334) 242-5300 with any questions.

Sincerely,



Bill Johnson, Director
Alabama Department of Economic
and Community Affairs



Tim Alford, Director
Office of Workforce Development

Attachment
pc: Dr. Helen Parker

ALABAMA STATE PLAN

2007-2008

WORKFORCE INVESTMENT ACT

WAGNER-PEYSER ACT

Submitted May 1, 2007

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2. Organizational Chart
3. State Workforce Investment Board Members
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6. Regional Advisory Councils - Map
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9. Career Center Operations Template
10. Grievance Procedures (WIA)
11. Full Collaboration Model
12. Proposed Performance Goals
13. Key to Selected Acronyms

Alabama's Workforce Development State Plan Modification

July 1, 2007 – June 30, 2008

Principal changes in the Alabama Five-Year Plan are indicated by shading,
with a “Modified, 5/1/07” margin notation, opposite the affected text.

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State Plan Development Process

The Governor's involvement in the development of the State Plan for the Workforce Investment Act and Wagner-Peyser Act Programs is largely through his Executive Order 17, which provided a coordinating mechanism for workforce development in Alabama, and through his approval of the Workforce Development Strategic Plan. He has approved those actions on which this plan is based.

The State Plan Modification, posted on the Office of Workforce Development website, at www.owd.alabama.gov, was available for public review and comment on the Internet. This was considered to be the most effective manner to communicate with all interested parties. Public notices in newspapers were published regarding the State Plan Modification's availability.

The Wagner-Peyser agency, the Alabama Department of Industrial Relations, and the Workforce Investment agency, the Alabama Office of Workforce Development, worked together throughout the plan development process to ensure complete collaboration on the project. The Labor Market Information agency, also the Alabama Department of Industrial Relations, participated in the process from the beginning. This is the norm, just as coordination and collaboration are the norm at Workforce Planning Council meetings.

**Alabama's Workforce Development
State Plan Modification
July 1, 2007 – June 30, 2008**

I. Vision for a Statewide workforce investment system.

The vision for Alabama workforce development is to provide a market-driven system that delivers services to customers using an innovative and comprehensive approach. We will provide employers with a prepared workforce which enhances the state's economic development and quality of life.

The Governor's vision is more expansively stated in Executive Order 17 (Attachment 1).

A. The State's economic development goals for attracting, retaining, and growing business and industry within the State.

Alabama's economic development goals, as expressed by the Alabama Development Office, are as follows:

- Enhance Alabama's national and international branding
- Identify growth sectors and business sectors that are of importance to Alabama's economy
- Identify, recruit, and develop investment projects of statewide and regional significance resulting in new job creation
- Improve Alabama's competitiveness as a world-class film industry business and production destination
- Assist and support local and regional economic development organizations in their missions to attract new business, retain existing industry and expand existing businesses
- Identify and coordinate with local and regional economic development partners business retention projects of statewide significance
- Increase export sales of Alabama products and services
- Support and provide special emphasis to encourage job creation in non-established, non-traditional regions

B. The Governor's vision for maximizing and leveraging the broad array of Federal and State resources available for workforce investment flowing through the State's cabinet agencies and/or education agencies in order to ensure a skilled workforce.

In Executive Order 17, Governor Riley talked about streamlining and consolidating the functions of workforce development agencies into a single agency in order to reduce costs, eliminate redundant organizations, and to simplify the executive branch of state government, to improve accessibility, to improve accountability, to provide more efficient use of expertise and facilities, to reduce administrative support, and to promote sharing of best practices. Part of the executive order creates the Workforce Planning Council to develop, administer and coordinate the implementation of a

comprehensive State Plan for Workforce Development, with input from the State Workforce Board and the Governor. The agency designated to coordinate workforce development activities is the Alabama Office of Workforce Development.

C. The Governor's vision for ensuring a continuum of education and training opportunities that support a skilled workforce (keeping up with innovation and new technology).

In addition to the workforce development agencies, such as the Department of Industrial Relations (Employment Service, Labor Market Information, Unemployment Insurance, Trade Act), the Office of Workforce Development (Title I of the Workforce Investment Act), the Department of Human Resources (Temporary Assistance to Needy Families), and the Alabama Development Office (Economic Development), the Governor included in the Workforce Planning Council the State Department of Education (elementary and secondary education) and the Department of Postsecondary Education. By keeping these entities engaged in designing and implementing the workforce system of the present and the future, the State will be in the best possible position to keep up with innovations and new technology. The Workforce Planning Council was established by Executive Order 17 (Attachment 1).

D. The Governor's vision for bringing the key players in workforce development including business and industry, economic development, education, and the public workforce system.

Governor Riley brought together key players in workforce development including business and industry, economic development, education, and the public workforce system through his Executive Order 17, which established the Workforce Development Planning Council. This Planning Council is composed of the heads of workforce development agencies, including the Department of Industrial Relations (Employment Service, Labor Market Information, Trade Act, Veterans programs, and Unemployment Insurance), the State Department of Education, the State Department of Postsecondary Education, the Alabama Development Office (industrial recruitment), the Department of Human Resources (welfare, food stamps), Rehabilitation Services, and the Office of Workforce Development (Workforce Investment Act).

The Workforce Development Planning Council embodies the Governor's vision in Workforce Development as stated in Executive Order 17, "Streamlining and consolidating the functions of certain of these agencies into a single agency offers the opportunity to realize significant cost savings, eliminate redundancy and simplify the organizational structure of the Executive Branch, improve accessibility and accountability, provide more efficient use of specialized expertise and facilities, reduce administrative support, and promote more effective sharing of best practices and state of the art technology..." The Executive Order went on to state that the Workforce Planning Council, "...shall develop, administer and coordinate the implementation of a comprehensive State Plan for Workforce Development..." In addition, these agency representatives are also members of the State Workforce Investment Board along with private sector representatives. Between the two,

extensive discussion, work and review are conducted that identify workforce challenges and develop strategies and solutions, including leveraging resources to address those challenges.

E. The Governor's vision to ensure that youth have the opportunity to actualize career goals. . .

is through the Workforce Development Planning Council, the State Workforce Investment Board, and through the local youth councils and workforce investment boards. Each of the groups involved has the expertise to contribute to the development of a comprehensive youth strategy. Ensuring that coordination exists among agencies with related workforce development missions is the best way to ensure that funds are used properly and wisely and that redundancies are minimized.

II. The Governor's key workforce investment priorities for the State's public system are...

Governor Riley's workforce investment priorities for the public workforce system are:

- Streamlining and consolidating the functions of these agencies into a single agency
- Reduce waste in the workforce development system
- Improve accountability and accessibility
- More effectively use expertise and facilities
- Reduce administrative support

Their contribution to fulfillment of the Governor's vision for Workforce Development is...

When these changes are carried out, Alabama will have a more effective and efficient workforce development organization with the proper knowledge, tools, and backing necessary to carry out the jobs assigned to it by the Governor.

III. State Governance Structure

A. Organization of State agencies in relation to the Governor.

1. Organizational chart is Attachment 2.
2. **In a narrative describe how the agencies involved in the public workforce investment system interrelate on workforce and economic development issues and the respective lines of authority.**

The agencies involved in the public workforce investment system interrelate on workforce and economic development issues as described in I.D. above. Numerous task forces/work groups have been appointed by the Workforce Development Planning Council to include a Labor Market Information Task Force, Task Force to Plan Job Forecasting Conference, Work Group on High Growth, High Demand Job Sectors, MIS/IT Task Force, Career Center Integration

Committee, Task Force to Simplify Procedures, and a Marketing Committee. These are made up of representatives from the Workforce Development agencies included in the Workforce Development Planning Council. In addition to this contact on policy issues and in formal groups, there is daily contact between staff of all these agencies as they pursue their normal daily work which involves coordination and collaboration with other workforce development agencies.

B. State Workforce Investment Board

1. Describe the organization of the Board.

*Modified,
5/1/07*

The Alabama Workforce Investment Board is comprised of 73 members including the Governor and two members from each Chamber of the Alabama Legislature. (membership list is Attachment 3). There are 39 business representatives. The State Board has an Executive Committee to conduct business outside the quarterly Board meetings.

2. Identify the organizations or entities represented on the Board.

The organizations or entities represented on the Board include the Governor, members of the Alabama Legislature, representatives from organized labor, one-stop partner agencies, business representatives, and chief elected officials. Other agencies/entities represented include community colleges, state and local economic development organizations, community-based organizations, juvenile justice and agencies with expertise in youth program activities.

3. Describe the process your state used to identify your state board members.

State Board members were identified by the Governor's Office through recommendations requested from entities and organizations required by Section 111 (b) to be represented on the State Board. A majority of business representatives were recommended by the Business Council of Alabama (BCA), which has some 5,000 business members, who employ nearly three quarters of a million Alabama workers. There are business representatives from nine of Alabama's ten regional advisory council regions with a replacement appointment pending in the remaining region.

4. Describe how the board's membership enables you to achieve your vision described above.

The membership of the Alabama Workforce Investment Board shares a vision with the Governor to achieve a comprehensive market-driven, performance-based workforce development system, which readily adapts to dynamic occupational and economic trends. The State Board collaborated with Alabama Workforce System partners through the Alabama Workforce Planning Council to develop Alabama's Workforce Development System Strategic Plan. The State Board Chair participates as a member of the Workforce Planning Council. The Board was involved in the development of the Strategic Plan with drafts being provided at quarterly meetings and Executive Committee sessions. The Strategic Plan was approved by the State Board, and presented to the Governor at the State Workforce Development Conference. The Strategic Plan is a continuing work in progress. Board members are involved with all initiatives and communicate on related strategies included in the plan, which relates to all aspects of the Workforce Development System in Alabama.

5. Describe how the board carries out its functions.

The State Board carries out functions required by WIA Section 111(d) and 20 CFR 661.205 primarily through the Board's Executive Committee. The Executive Committee will address specific issues and policies in order to make recommendations to the full Board and the Governor. For example, the One-Stop Career Center template was developed for local areas' use as a method to achieve consistency of services, information and branding at local One-Stop Career Center offices.

Also, the Governor via Executive Order 17 created a Workforce Planning Council to develop, administer, and coordinate the implementation of a comprehensive state strategic plan for workforce development, with input from the State Board. The Workforce Planning Council is essentially the Governor's Workforce Cabinet and is composed of cabinet level officers of Alabama's One-Stop partner agencies (who are also State Board members), two at large private sector members, and the chair of the State Workforce Board as an ad hoc member.

The Alabama Career Center partner agencies provide staff expertise for the various Board functions listed in Section 111(d) to ensure all statutory and regulatory requirements are met for WIA as well as other initiatives. The Office of Workforce Development (WIA Title I) provides full-time Board staff.

6. How will the state board ensure that the public has access to board meetings and information?

All meetings of the Alabama Workforce Investment Board are publicly announced prior to each meeting and are open and accessible to the general public. The public notice lists a TDD telephone number to call to access information about each meeting and includes a statement that auxiliary aids and services are available upon request to individuals with disabilities. The Alabama Open Meetings Act requires advance notice of Board meeting times and dates to be posted on Alabama Secretary of State's website. The meetings are held in locations accessible by persons with disabilities.

Membership information and meeting minutes are maintained at the Alabama Office of Workforce Development, 401 Adams Avenue, Montgomery, Alabama.

7. Identify the circumstances which constitute a conflict of interest for any state or local workforce investment board member.

Circumstances which constitute conflicts of interest for Board members were addressed on January 7, 2000, by the "State Policy on Conflicts of Interest" for both State and Local Workforce Investment Boards. This policy was transmitted through the Governor's Workforce Development Directive No. PY 99-05. It included the Alabama Code of Ethics for Public Officials, Employees, etc., definition for a conflict of interest as follows:

A conflict on the part of a public official between his or her private interests and the official responsibilities inherent in an office of public trust. A conflict of interest involves any action, inaction, or decision by a public official or public employee in the discharge of his or her official duties which would materially affect his or her financial interest or those of his or her family members or any business with which the person is associated in a manner different from the manner it affects the other members of the class to which he or she belongs.

The State Policy Directive also included Section 111(f) and Section 117(g) of the Workforce Investment Act of 1998, as it applied to both the State and Local Boards.

Specifically, as provided in Section 111(f) and 117(g) of the Workforce Investment Act, a State or Local Board may not:

Vote on a matter under consideration by the Board-

- a) regarding the provision of services by such member (or by an entity that such member represents); or
- b) that would provide direct financial benefit to such member or the immediate family of such member; or engage in any other activity determined by the Governor to constitute a conflict of interest as specified in the State Plan.

The Alabama Workforce Investment Board adopted their “Conflict of Interest Policy” and “Bylaws” on March 22, 2000, incorporating the State Policy Directive into their policy document. These documents included additional language as follows:

Use or attempt to use the appointment to secure benefits, privileges, exemptions, or advantages for the member, any member of their immediate family, or an organization with which the member is associated which are different from those normally available to a member of their business classification, profession, or organization.

Any Board member with a potential or actual conflict of interest must disclose that fact to the Board (or the Executive Secretary) as soon as the conflict is discovered and, to the extent possible, before the meeting involving the issue to be discussed. If it should be determined during the meeting that a conflict of interest exists, the member must verbally declare such conflict of interest, such declaration must be clearly noted in the minutes, and the member must excuse him/herself from the remainder of the discussion and voting.

8. What resources does the state provide the board to carry out its functions?

The State does not provide the State Workforce Investment Board with a dedicated budget, but does provide dedicated staff and funds for meetings, as well as for activities recommended by the State Workforce Investment Board.

C. Structure/Process for State agencies and State board to collaborate and to communicate.

1. Describe steps the state will take to improve operational collaboration of workforce investment activities at the state and local level. How will the State board and agencies eliminate any existing state-level barriers to coordination?

The keen emphasis placed by Governor Riley on a vibrant workforce development system is articulated in Executive Order 17, which called for increased accountability, streamlining services, providing universal access to services, and empowering individuals in training and career choices. The Workforce Development Planning Council established by Executive Order 17 acts as a fulcrum in better coordinating the efforts of those agencies charged with workforce development functions. Separate task forces appointed by the Planning Council are aligned with various workforce development goals. The Planning Council and its task forces are a platform for representatives of workforce development agencies to better channel their resources towards resolution of common workforce development challenges.

2. Describe the lines of communication to attain timely sharing of information among state agencies and the state workforce investment board.

Communication of the several issues, challenges, and opportunities to the various State Agencies is effected through the Planning Council and through the State Workforce Investment Board.

3. Describe the lines of communication established to ensure sharing of information between state agencies and board and local boards.

Designated representatives of each local area are invited to all State Workforce Investment Board meetings. These same local area representatives are ad hoc members of the Board's Executive Committee. Federal guidance and policy statements from the State WIA Administrative Entity are issued through Governor's Workforce Development Directives, which are posted on Office of Workforce Development Internet web site, accessible by all Workforce Development Partner agencies. Another vehicle for dissemination of Workforce Development policy is Alabama Career Center System Memoranda, which are similarly broadly available.

4. Cross-cutting organizations and bodies at the State level are:

The State Workforce Investment Board, the Workforce Development Planning Council, and the Office of Workforce Development. The Planning Council, "...shall develop, administer and coordinate the implementation of a comprehensive State Plan for Workforce Development to be approved by the Governor with input from the State WIA Board." The Planning Council has the following members: the Director of the Office of Workforce Development; the Director of the Alabama Department of Economic and Community Affairs; the Chancellor of Postsecondary Education; the Director of the Department of Industrial Relations; the Director of the Alabama Development Office; the Commissioner of the Department of Human Resources; the Director of the Alabama Industrial Development Training; and the State Superintendent of Education. The Office of Workforce Development was instituted at the end of calendar year 2003 in Governor Riley's Executive Order 17 (Attachment 1). Its stated purpose is to achieve the consolidation of the administration of federal and state workforce development activities in the State.

IV. ECONOMIC AND LABOR MARKET ANALYSIS

A. Current base by industry

*Modified,
5/1/07*

Annual employment figures for 2005 indicate an average employment base of close to 1.9 million people. Management of Companies and Enterprises as well as Mining showed the greatest gains from 2004 figures. Three of the major industry divisions decreased from 2004 with Utilities exhibiting the largest loss. Fifty-five of Alabama's 67 counties exhibited gains in average monthly employment.

Non-manufacturing employment averaged 1,596,673, up 36,729 from 2004. Manufacturing employment averaged 279,848, registering an increase of 2.1 percent from 2004. Of the 21 Manufacturing Sectors, nine showed decreases over the past year. The greatest over-the-year increases were in Leather and Allied Product Manufacturing and Transportation Equipment Manufacturing.

B. Industries and Occupations Growth/Decline

*Modified,
5/1/07*

From 2004 through 2014, Health Care & Social Assistance will continue to provide new career opportunities due to the aging of the population. Industries that are expected to experience the greatest gains are associated with elderly care, such as Home Health Care Services, Other Residential Care Facilities, and Community Care Facilities for the Elderly. These three industries are projected to provide over 9,000 new jobs over the ten-year period.

The Professional, Scientific, and Technical Services sector is also expected to be on the rise. For example, Scientific Research and Development Services sector is projected to be the fastest growing industry over the period, adding over 5,000 new jobs. Furthermore, Management, Scientific, and Technical Consulting Services as well as Computer Systems Design and Related Services are predicted to add over 10,000 jobs through the ten years.

Manufacturing employment in the state is projected to grow slightly over the period, by around 2.24%. While Durable Goods employment is expected to increase over 12.66% through the period, Nondurable Goods are projected to continue a steady decline of 11.95%. Nevertheless, Motor Vehicle Manufacturing will still be one of the fastest growing industries with a projected increase of over 5,100 jobs over the period.

Figure 1. Ten Fastest Growing Industries

NAICS	INDUSTRY TITLE	Employment				Annual Growth Rate
		2004	2014	Net Change	Percent Change	
5417	Scientific Research and Development Services	4,580	9,640	5,060	110.48	7.73
3361	Motor Vehicle Mfg	7,140	12,300	5,160	72.27	5.59
5416	Mgt., Scientific, and Tech. Consulting Services	5,920	9,840	3,920	66.22	5.21
6216	Home Health Care Services	8,640	13,780	5,140	59.49	4.78
6239	Other Residential Care Facilities	1,710	2,720	1,010	59.06	4.75
4243	Apparel, Piece Goods, and Notions Wholesalers	540	840	300	55.56	4.52
5613	Employment Services	43,830	67,660	23,830	54.37	4.44
6233	Community Care Facilities for the Elderly	5,850	8,970	3,120	53.33	4.37
4881	Support Activities for Air Transportation	2,270	3,380	1,110	48.90	4.06
5415	Computer Systems Design and Related Services	15,230	22,210	6,980	45.83	3.84

*Modified,
5/1/07*

The U.S. Bureau of Labor Statistics reports that although automated technology and faster looms are boosting productivity nationwide, competition and an increase in imports in fiber, yarn and thread mills will drive this sector down through 2014. These losses are reflected in the Alabama economy. In 2000, employment in textile and apparel industries in Alabama averaged over 62,000, while in 2004, employment totaled 27,400; a loss of 34,600 jobs in only four years.

A look at declining industries through 2014 indicates that textiles and apparels should dominate losses in the Manufacturing sector with a combined decrement of over 13,000 jobs. Textile and apparel plants in Alabama continue to lose employment slightly faster than the nation. In the past, these plants were the backbone of Alabama manufacturing; however, through 2014 the greatest contributor to decline will be Apparel Knitting Mills, with an estimated annual contraction of 8.74 percent. Furthermore, of the ten fastest declining industries statewide, the top six are expected to occur in textile or apparel manufacturing. Refer to Figure 2 for a statewide listing of the top ten declining industries.

Figure 2. Ten Fastest Declining Industries

NAICS	INDUSTRY TITLE	Employment				Annual Growth Rate
		2004	2014	Net Change	Percent Change	
3151	Apparel Knitting Mills	8,060	3,230	-4,830	-59.93	-8.74
3152	Cut and Sew Apparel Mfg	6,190	2,560	-3,630	-58.64	-8.45
3133	Textile and Fabric Finishing and Fabric Coating Mills	2,000	950	-1,050	-52.50	-7.17
3132	Fabric Mills	4,510	2,660	-1,850	-41.02	-5.14
3131	Fiber, Yarn, and Thread Mills	5,700	3,740	-1,960	-34.39	-4.13
3159	Apparel Accessories and Other Apparel Mfg	940	650	-290	-30.85	-3.62
4247	Petroleum and Petroleum Products Wholesalers	2,080	1,520	-560	-26.92	-3.09
3252	Resin, Synthetic Rubber, and Synthetic Fibers Mfg	2,700	2,020	-680	-25.19	-2.86
3253	Agricultural Chemicals	1,890	1,550	-340	-17.99	-1.96
5171	Wired telecommunications	8,220	6,760	-1,460	-17.76	-1.94

Modified,
5/1/07

Of the ten fastest growing occupations projected through 2014, a majority are professional occupations which require a degree beyond high school. Most of these are computer and mathematical science occupations or community and social science occupations. One falls into Healthcare occupations. Nevertheless, all of the top ten, with the exception of one, are related to the focus to bring biotechnology and other high-tech industries to the state.

Figure 3. High Growth Occupations with Education Requirements

Occupation	Employment		Percent Change	Annual Avg. Openings	Education Training / Experience
	2004	2014			
Medical Scientists, Except Epidemiologists	120	210	75.00	10	Doctoral degree
Computer Software Engineers, Systems Software	2,460	4,080	65.85	185	Bachelor's degree
Computer Software Engineers, Applications	3,560	5,620	57.87	240	Bachelor's degree
Physician Assistants	520	810	55.77	40	Bachelor's degree
Biochemists and Biophysicists	90	140	55.56	10	Doctoral degree
Home Health Aides	8,780	13,630	55.24	600	Short-term on-the-job training
Network Systems & Data Communications Analysts	2,320	3,600	55.17	155	Bachelor's degree
Aircraft Mechanics and Service Technicians	2,410	3,690	53.11	185	Postsecondary vocational training
Medical Assistants	3,810	5,730	50.39	260	Moderate-term on-the-job training
Grounds Maintenance Workers, All Other	240	360	50.00	15	Short-term on-the-job training

Modified,
5/1/07

Alabama's declining occupations reflect losses in their respective industries as well as changes in occupational technology. Several declining occupations are related to the continued decline in textile and apparel manufacturing industries. Others, such as File Clerks, Order Clerks, and Computer Operators are declining due to technological advances in the occupations. Occupations notated with '**' qualify among the 30 occupations with the largest job decline in the nation through 2014 according to the Bureau of Labor Statistics. Five of the top 10 are production occupations representing over 8,500 Alabama workers with transferable manufacturing skills that are projected to lose their current jobs over the ten-year period.

Figure 4. Selected Declining Occupations			
Occupation	Employment		Net Change 2004-2014
	2004	2014	
Sewing Machine Operators**	10,560	6900	-3660
Textile Knitting and Weaving Machine Setters, Operators, and Tenders**	4,770	2250	-2520
Textile Winding, Twisting, & Drawing Out Machine Setters, Operators, & Tenders**	3,830	2420	-1410
File Clerks**	3,370	2260	-1110
Order Clerks**	3,570	2720	-850
Computer Operators**	2,280	1560	-720
Mail Clerks and Mail Machine Operators, Except Postal Service**	1,800	1140	-660
Meter Readers, Utilities**	1,190	680	-510
Extruding & Forming Machine Setters, Oper. & Tenders, Synthetic & Glass Fibers	1,680	1170	-510
Textile, Apparel, and Furnishings Workers, All Other	1,380	920	-460

C. Demand for skilled workers

*Modified,
5/1/07*

The High Growth Job Training Initiative laid out by President Bush identifies industries that are either primary or secondary high-growth industry areas in the national economy. These national areas overlap the Alabama economy in multiple industries that are targeted for growth. These include Healthcare, Information Technology, Shipbuilding, Aerospace, and Automotive manufacturing.

Healthcare occupations represent 14 of the top 40 fast-growing occupations in Alabama through 2014. Most of these are related to various types of healthcare assistants and aides. For example, physician assistants are listed as the fastest growing healthcare occupation with a change over the period of 55.8%. In the list of 14 fast growing healthcare occupations, eight are listed as assistants or aides, accounting for over 1,300 annual average job openings each year through 2014.

Healthcare Fast-Growing Occupations	2014 Employment	Percent Change From 2004
Physician Assistants	810	55.8
Home Health Aides	13,630	55.2
Medical Assistants	5,730	50.4
Personal & Home Care Aides	4,900	42.9
Dental Assistants	3,530	41.2
Dental Hygienists	4,220	41.1
Occupational Therapists	1,320	40.4
Physical Therapist Assistants	1,510	39.8
Occupational Therapist Assistants	360	38.5
Emergency Medical Technicians and Paramedics	3,800	36.2
Physical Therapists	2,290	35.5
Veterinary Technologists and Technicians	1,210	33.0
Healthcare Practitioners and Technical Workers, All Other	1,210	33.0
Physical Therapist Aides	690	32.7

*Modified,
5/1/07*

ISP's and Web Search Portal industries are fast-growing in Alabama and are included in the President's Information Technology sector. Information Technology staffs the following fast-growing Computer and Mathematical occupations. These occupations are not anticipated to grow as they have in the past due to job outsourcing to other countries. Nevertheless, these occupations are continuing to grow faster than average due to the extreme pace in the development of new technology. The listed occupations are projected to produce an average of over 800 job openings a year through 2014.

Information Technology Fast Growing Occupations	2014 Employment	Percent Change From 2004
Computer Software Engineers, Systems Software	4,080	65.9
Computer Software Engineers, Applications	5,620	57.9
Network Systems and Data Communications Analysts	3,600	55.2
Database Administrators	1,130	48.7
Computer and Information Scientists, Research	550	48.6
Network and Computer Systems Administrators	4,050	45.2
Computer Systems Analysts	10,180	32.7

*Modified,
5/1/07*

In Alabama, Biotechnology jobs were identified from Medical and Diagnostic Laboratories, Scientific Research and Development Services, Architectural, Engineering, and Related Services, and Pharmaceutical and Medicine Manufacturing industries. The occupations listed below are a select few from the Life, Physical and Social Science Occupational Group as they are most closely associated to Biotechnology. Medical Scientists, Except Epidemiologists is projected to be the fastest growing occupation through the year 2014, with ten average annual job openings through the period. In addition, Biochemists and Biophysicists are expected to grow at a higher than average pace, adding fifty new jobs over the period.

Biotech Occupations	2014 Employment	Percent Change From 2004
Medical Scientists, Except Epidemiologists	210	75.0
Biochemists and Biophysicists	140	55.6
Biological Scientists, All Other	191	35.7
Chemists	720	7.5
Biological Technicians	570	26.7
Chemical Technicians	1,030	17.0

*Modified,
5/1/07*

Alabama's economic profile includes targeted growth in Shipbuilding industries. These tend to occur in both the Transportation and Manufacturing sectors. The occupations listed are typical of those found in shipbuilding. These occupations are expected to grow at a steady pace over the period. However, one must consider that the data for these occupations is a total for their existence across all industries, not just shipbuilding.

Shipbuilding	2014 Employment	Percent Change From 2004
Electricians	12,870	14.3
Painters, Transportation Equipment	1,150	23.6
Plumbers, Pipefitters, and Steamfitters	8,410	18.1
Structural Metal Fabricators and Fitters	3,830	17.5
Welders, Cutters, Solderers, and Brazers	10,070	16.5

Modified,
5/1/07

Although the nation faces a decline in Automotive Manufacturing jobs, Alabama continues to recruit new automotive industry to boost employment. The following five occupations are vital in automotive manufacturing and are expected to produce over 2,000 job openings a year through 2014; some through job churn, others through growth in the industry. As with Shipbuilding, these occupations exist in industries other than automotive manufacturing alone.

Automotive Manufacturing	2014 Employment	Percent Change From 2004
Assemblers & Fabricators All Other	4,290	21.5
Engine & Other Machine Assemblers	150	25.0
Industrial Engineers	2,810	32.5
Mechanical Engineers	3,240	29.6
Team Assemblers	36,610	31.9

D. Critical Occupations

Modified,
5/1/07

Critical occupations can be defined several ways. The following occupations have been selected based on rankings of expected annual openings and on growth through 2014. Those rankings were then averaged to come up with occupations that could be described as critical. Five of the top ten critical occupations fall into fast growing areas such as Healthcare, Automotive Manufacturing, and Information Technology. The remaining are various service oriented occupations which are expected to generally have faster than average growth. These also usually experience high rates of turnover, resulting in a high number of job openings.

Critical Occupations	Employment ¹		Avg Annual		Mean	Experience / Education
Occupation	2004	2014	Growth (%)	Annual Openings ²	Annual Salary(\$)	
Registered Nurses	39,360	51,180	2.66	2,005	48,840	Associate Degree
Team Assemblers	27,750	36,610	2.81	1,600	25,630	Moderate-Term On-The-Job Training
Home Health Aides	8,780	13,630	4.49	600	16,030	Short-Term On-The-Job Training
Customer Service Representatives	21,580	26,880	2.22	850	26,290	Moderate-Term On-The-Job Training
Computer Systems Analysts	7,670	10,180	2.88	335	67,220	Bachelor's Degree
Medical Assistants	3,810	5,730	4.16	260	21,840	Moderate-Term On-The-Job Training
Computer Software Engineers, Applications	3,560	5,620	4.65	240	71,690	Bachelor's Degree
Child Care Workers	15,940	19,500	2.04	790	14,460	Short-Term On-The-Job Training
Receptionists and Information Clerks	13,540	16,680	2.11	650	19,850	Short-Term On-The-Job Training

Modified,
5/1/07

A majority of the top ten critical occupations require only on-the-job training, but these are generally jobs that provide fairly low salaries. *Short-term On-the-job-Training* refers to developing the skills needed for average job performance after a short demonstration or up to one month of on-the-job experience or instruction. *Moderate-term On-the-job-Training* refers to developing the skills needed for average job performance after one to twelve months of combined on-the-job experience and informal training. *Postsecondary Vocational Training* generally requires completion of vocational school training. *Associate degree* is completion of a two-year academic program. *Bachelor's Degree* is completion of a degree program requiring four to five years.

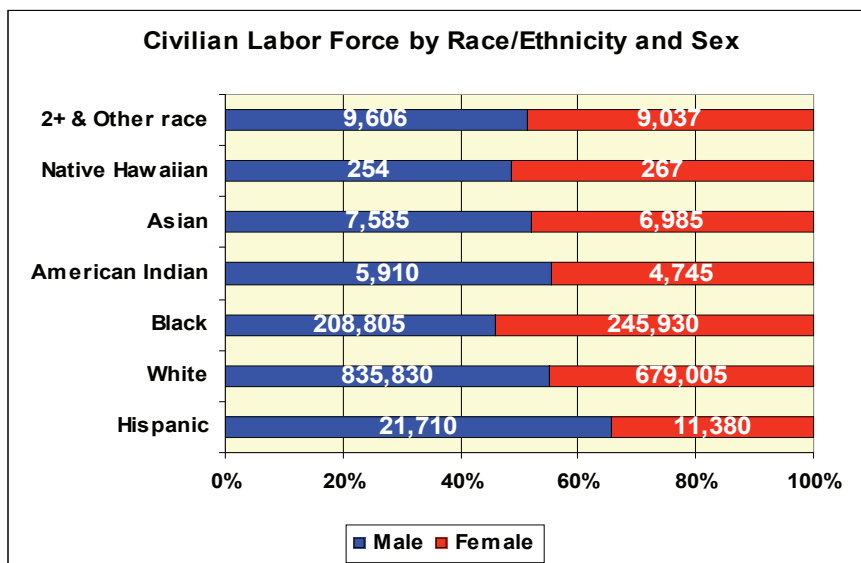
E. Skill Needs for projected critical occupations

Occupation	Knowledge	Skills	Ability
Registered Nurses	Medicine and Dentistry Psychology Customer and Personal Service English Language Biology	Active Listening Reading Comprehension Critical Thinking Instructing Speaking	Problem Sensitivity Oral Expression Inductive Reasoning Oral Comprehension Deductive Reasoning
Team Assemblers	Production and Processing Mechanical Education and Training Mathematics English Language	Learning Strategies Active Listening Quality Control Analysis Active Learning Instructing	Manual Dexterity Oral Comprehension Oral Expression Arm-Hand Steadiness Finger Dexterity
Home Health Aides	Customer and Personal Service English Language Medicine and Dentistry Public Safety and Security Therapy and Counseling	Active Listening Reading Comprehension Writing Coordination Service Orientation	Oral Comprehension Oral Expression Problem Sensitivity Speech Recognition Speech Clarity
Customer Service Representatives	Customer and Personal Service English Language Clerical Mathematics Administration and Management	Active Listening Reading Comprehension Monitoring Speaking Time Management	Oral Comprehension Oral Expression Deductive Reasoning Problem Sensitivity Speech Clarity
Computer Systems Analysis	Computers and Electronics English Language Customer and Personal Service Design Telecommunications	Active Learning Reading Comprehension Complex Problem Solving Critical Thinking Active Listening	Oral Comprehension Problem Sensitivity Deductive Reasoning Inductive Reasoning Written Comprehension
Medical Assistants	English Language Customer and Personal Service Medicine and Dentistry Clerical Therapy and Counseling	Active Listening Speaking Instructing Social Perceptiveness Reading comprehension	Oral Comprehension Oral Expression Speech Clarity Near Vision Information Ordering
Computer Software Engineers, Applications	Computers and Electronics Engineering and Technology Mathematics Telecommunications English Language	Programming Critical Thinking Complex Problem Solving Active Learning Troubleshooting	Deductive Reasoning Oral Comprehension Inductive Reasoning Near Vision Problem Sensitivity
Child Care Workers	Customer and Personal Service Psychology English Language Public Safety and Security Education and Training	Active Listening Learning Strategies Social Perceptiveness Instructing Speaking	Problem Sensitivity Oral Comprehension Oral Expression Speech Clarity Fluency of Ideas
Receptionists and Information Clerks	Customer and Personal Service Clerical English Language Computers and Electronics Mathematics	Active Listening Speaking Reading Comprehension Writing Service Orientation	Oral Comprehension Oral Expression Speech Recognition Speech Clarity Information Ordering
Retail Salespersons	Customer and Personal Service Sales and Marketing Administration and Management Education and Training Mathematics	Active Listening Mathematics Speaking Social Perceptiveness Critical Thinking	Oral Comprehension Oral Expression Speech Clarity Speech Recognition Trunk Strength

F. Demographics

Modified,
5/1/07

According to the U.S. Census Bureau, there are approximately 2,047,095 Alabamians counted in the civilian labor force. Of these workers, over 33,000 are Hispanic of any race. The following chart summarizes the labor force distribution by sex.



G. In/Out Migration of Workers

Alabama Workforce in Alabama and Commuting to Other States

State Workplace	Total Number of AL Commuter Workforce in each Workplace	Percentage of AL Commuter Workforce to Total AL Workforce
Alabama	1,821,892	95.88 %
Georgia	39,667	2.09 %
Mississippi	12,416	0.65 %
Tennessee	8,662	0.46 %
Florida	6,234	0.33 %

(2000 Census Data - based on the number of workers 16 years old and over in the commuter flow)

Bordering State Workforce Commuting to Alabama

State of Residence	Total Number of State Commuter Workforce	Number of Commuter Workforce Entering AL	Percentage of each State Commuter Workforce
Mississippi	1,164,118	6,991	0.60 %
Tennessee	2,618,404	8,565	0.33 %
Florida	6,910,168	9,460	0.14 %
Georgia	3,832,803	10,051	0.26 %

(2000 Census Data - based on the number of workers 16 years old and over in the commuter flow)

H. Skill Gaps

*Modified,
5/1/07*

The skill gaps of workers in Alabama tend to be those which result from moving from a low-skill, labor-intensive manufacturing and agribusiness economy, to a 21st Century innovative economy based largely on advanced manufacturing and higher-tech industries. To transition from the old to the new economy, many Alabamians need to improve basic skills in such areas as applied reading, problem solving, applied mathematics, communication and applied technology.

Once these foundational skills are mastered, a much larger number of Alabamians need to master technical skills. These needs are particularly acute in such areas as advanced manufacturing where skills related to multi-craft industrial maintenance, machining, tool and die, sheet metal, and welding technicians are insufficient to meet current and projected demands. Similarly, in the aerospace sector, aircraft mechanics and service technicians are not available in sufficient numbers to meet demand.

In the service sector, various healthcare technicians, assistants, and aides as well as nurses are in short supply. There are also shortages in such low-wage service areas as cashiers and retail sales clerks, but the required training for these entry-level positions does not greatly impact the public workforce development system.

More specifically, each of the ten recently-created Regional Advisory Councils are currently analyzing labor market and economic development information and completing a regional "Status of the Workforce Report" based on their respective regional economies. These reports address the issue of declining occupations and/or sectors versus growing occupations and/or sectors and the skills gaps created by such job churning. This information will be submitted to the State Planning Council and State and Local Workforce Boards annually to provide well-informed planning, more closely define skills gaps, and target education and training resources accordingly.

I. Workforce Development Issues

Addressing the following issues has been given priority by the Alabama Workforce Development Planning Council and the Alabama Workforce Development Board:

- (1) designing a comprehensive, market-driven, performance-based workforce development system that is based on labor market analysis and serves as a vital resource which readily adapts to dynamic occupational and economic needs.
- (2) designing and implementing organizational structures and programs based on best practices.
- (3) integrating a workforce development system that unites Alabama's education and training services, employment services, and economic development resources into a streamlined delivery system.
- (4) becoming a recognized leader and partner in economic development by providing employers with valuable services which enhance their opportunities for growth and by providing job seekers with education, training, and related services which enhance their employability.

- (5) establishing a comprehensive marketing plan which communicates the enhanced services that the Workforce Development System provides the state's employers and employees.

Each of these issues/goals have been aligned with related strategies, initiatives, and activities designed to address the issues.

J. Priority of Workforce Development Issues

No priority for the top five issues listed above has been established. It is the belief of the State Planning Council and Workforce Board that all five goals / issues must receive priority attention and must move along together in an integrated approach. Addressing any one of the issues complements and supports achievement of the other. Addressing all five of these issues concurrently is Alabama's priority.

V. Overarching State Strategies

- A. Identify how the State will use Title I funds to leverage other federal, state, local, and private resources in order to maximize the effectiveness of such resources and to expand the participation of business, employees, and individuals in the statewide workforce investment system.**

The Workforce Planning Council has created an exciting vehicle for sharing program ideas, needs, and opportunities. Through this mechanism, many issues concerning workforce development in the State are shared and opportunities for cooperative programs are presented. This has proven to be a healthy medium to achieve collaboration, shared expertise, and shared funding. Many joint projects are currently under way which involve two or more of the Council member agencies.

- B. What strategies are in place to address the national strategic direction discussed in Part I of this guidance, the Governor's priorities, and the workforce development issues identified through the analysis of the State's economy and labor market?**

The strategies heretofore mentioned lend themselves very directly to achievement of the Governor's priorities, the State's workforce development issues, and national strategic direction. An organized, coordinated system has been put in place to address all of these sets of issues. The issues will be addressed by the Workforce Planning Council and the State Workforce Investment Board, with the Office of Workforce Development acting as the coordinating entity.

C. Based on the State's economic and labor market analysis, what strategies has the State implemented or plans to implement to identify and target industries and occupations within the State that are high growth, high demand, and vital to the State's economy?

The State has recognized for a considerable period of time that our workforce needed to be expanded to include persons who have normally been left out of the workforce. These persons are largely identified as discouraged workers. They include those who have deficient education credentials, sketchy work experience, disabilities, and substance abuse problems. A program, called Focused Industry Training (FIT), has been designed to bring these groups back into the labor market in hopes of getting them to contribute to the economy. The FIT programs include components on adult education, interviewing skills, industrial training, and work habit training. They are wide spread across the State and have made valuable contributions to the labor pool.

We constantly review the job demand information and ensure that training conducted is only for those jobs for which there is a demand. The State Workforce Investment Board will be looking at this area to determine if further policy is called for.

D. What strategies are in place to promote and develop ongoing and sustained strategic partnerships that include business and industry, economic development, the public workforce system, and education partners for the purpose of continuously identifying workforce challenges and developing solutions to targeted industries' workforce challenges?

*Modified,
5/1/07*

The above issues remain focal concerns of the Workforce Planning Council and the Workforce Investment Board. Fully addressing such workforce challenges, and developing solutions to such challenges, is central to the shared mission of the Planning Council and State Workforce Investment Board. Active information sharing linkages between the State of Alabama Workforce System and the University of Alabama's Center for Economic and Business Research, which better ensure our workforce development professionals have ready access to much of the base information they require, is a single instance of such coordination and resource pooling.

E. What State strategies are in place to ensure that sufficient system resources are being spent to support training of individuals in high growth/high demand industries?

Perhaps the chief state strategy to ensure the support of training in high growth/high demand industries is the extensive training being done by Labor Market Information representatives in Alabama. These training sessions provide instruction in the use of many types of labor market information and help users to understand how to interpret the data presented. The trainees include many representatives from Workforce Development and Economic Development agencies.

F. What workforce strategies does the State have to support the creation, sustainability, and growth of small businesses and support for the workforce needs of small businesses as part of the State’s economic strategy?

The State has a strong Business Relations effort underway. The Business Relations representatives call on businesses and discuss with them the services provided by Career Centers across the State. Services that are especially significant to small business are the Incumbent Worker Training program and On-the-Job Training. Both programs are highly regarded, particularly by small businesses, to which they frequently represent a potential source of entrepreneurial capital.

*Modified,
5/1/07*

Alabama’s community of employers, and particularly the smaller employers, is broadly recognized as generating the “demand” that drives the state’s economic engine. However, a recent GAO report found that just one-half of small employers are aware of the local availability of one-stop services, with only half of these, or one quarter of small employers, likely to actually use such one-stop services. The Employer Relations Program works to reach thousands of Alabama employers, including small businesses, each year. These businesses are alerted to new or changing employer support programs, the latest available labor market information, and offered assistance in filling a job vacancy. Success of this strategy is evident in the GAO study, where three quarters of the small employers using One-Stop services indicated satisfaction with the services received, with the primary service sought being assistance in filling job vacancies.

The Employer Relations program also markets Career Center Business Services offered by all partners. Business Services Representatives, trained and knowledgeable about partner services, shared information regarding business services provided by the Career Center System and assisted employers throughout the state to become aware of Career Centers and the services available to assist them with their business/employment needs.

*Modified,
5/1/07*

In order to better assist particularly the small employer in meeting their primary need, i.e., filling job vacancies, Alabama Job Link (AJL), an Internet-based, demand-driven, labor exchange system, offers the option of self-service job matching and workplace information services. Employers are able to establish an account which enables employers to enter and manage job orders, as well as search for, assess, and contact job seekers.

G. How are the funds reserved for Statewide activities used to provide incentive for the entities that make up the State’s workforce system at the State and local levels to achieve the Governor’s vision and address the national strategic direction identified in Part I of this guidance?

*Modified,
5/1/07*

Under the Workforce Investment Act, the Governor is authorized to withhold up to 15 percent of WIA Adult, Youth, and Dislocated Worker funds allotted the State level for the conduct of WIA Statewide Activities, to include the provision of incentive/capacity building awards to local areas which exceed their negotiated WIA Adult, Youth, and/or Dislocated Worker program performance goals.

Three percent of Adult, Dislocated Worker, and Youth funds will be set aside by the State for local workforce investment area (LWIA) program incentive awards and LWIA capacity building/technical assistance activities. At least sixty-seven percent of this amount will be available for LWIA incentive awards. The balance of available funds will be utilized for LWIA technical assistance and/or capacity building activities.

LWIAs which meet or exceed both customer (participant and employer) satisfaction goals, and meet or exceed at least three of the four Adult performance goals, will be eligible to receive an Adult program incentive award. LWIAs which meet or exceed both customer (participant and employer) satisfaction goals, and meet or exceed at least three of the four Dislocated Worker performance goals, will be eligible to receive a Dislocated Worker program incentive award. LWIAs which meet or exceed both customer (participant and employer) satisfaction goals, and meet or exceed at least five of the seven Older Youth (19-21)/Younger Youth (14-18) performance goals, will be eligible to receive a Youth program incentive award.

LWIAs must plan for the full expenditure of their incentive awards in the program year in which those funds are awarded. There are no Administration or Program cost limitations with respect to these local area incentive awards, which may be expended by local areas for costs traceable to WIA Adult, Youth, and/or Dislocated Worker program activities.

H. Describe the State's strategies to promote collaboration between the public workforce system, education, human services, juvenile justice, and others to better serve youth that are most in need and have significant barriers to employment, and to successfully connect them to education and training opportunities that lead to successful employment.

The Alabama Workforce Development System Strategic Plan has several goals, strategies, and initiatives that include strategies to better serve youth. Additional strategies are regularly identified and discussed by the Workforce Planning Council and the State Workforce Investment Board. A number of joint projects have been successfully crafted and launched through such Planning Council/Workforce Board coordination.

I. Describe the State's strategies to identify State laws, regulations, and policies that impede successful achievement of workforce development goals and strategies to change or modify them.

Both formal and informal Planning Council/State Board communications channels are an effective platform for both identification of and development of action strategy involving Federal or state laws and regulations that seemingly restrict the ability of workforce partners to achieve desired levels of collaboration and coordination. A high premium is placed upon maintenance of operational flexibility.
(See Attachments 1, 4 and 5).

J. Describe how the State will take advantage of the flexibility provisions in WIA for waivers and the option to obtain approval as a workflex state.

*Modified,
5/1/07*

Alabama gratefully acknowledges the opportunity for expanded WIA systems operational flexibility extended the several states through the WIA regulatory waiver process. We recognize the considerable benefit afforded Alabama WIA program operations through the USDOL/ETA regulatory waiver process. We look forward to your favorable consideration of our request that several such regulatory waivers currently in effect for Alabama WIA programs be extended through June 30, 2009 (See Attachment 8 – Waiver Summary).

VI. Describe major state policies and requirements that have been established to direct And support the development of a Statewide workforce investment system not described elsewhere in this Plan.

A. What state policies and systems are in place to support common data collection and reporting processes, information management, integrated service delivery, and performance management?

The State has developed an Inter-agency Electronic Linkage System (IELS). Since its inception, the IELS capability has been key in developing and maintaining a data warehouse for WIA, Employment Service, Rehabilitation Services, and Human Resources (welfare) information. This data storage/retrieval capacity has since expanded to include Postsecondary Education, the State Department of Education (secondary), Alabama Industrial Development Training, the Alabama Commission on Higher Education, and Adult Education.

This system will be expanded as soon as issues of confidentiality of information are resolved. With the approval of WISPR, this system can be adapted to provide combined reports. (See also Attachment 9 – Career Center Operations Template).

B. What state policies are in place that promote efficient use of administrative resources such as requiring more co-location and fewer affiliate sites in local one-stop systems to eliminate duplicative facility and operational costs or to require a single administrative structure at the local level to support local boards and to be the fiscal agent for WIA funds to avoid duplicative administrative costs that could otherwise be used for service delivery and training?

Where area partner agency outlets are reasonably proximate, they may be collocated in the regional Career Center. The “satellite” career designation indicates that one or more partners are not collocated in the center. Representatives of those partners absent from the satellite center are out-stationed; that is, they visit these satellite career centers on a regular basis. There is no case where an Employment Service office and a WIA office are located within a few miles of each other. A single administrative structure at the local level is a goal yet to be comprehensively realized.

C. What state policies are in place to promote universal access and consistency of service statewide?

State Workforce Investment Board policy relative to a broad spectrum of active and prospective Career Center Operations has been condensed into a “Career Center Operations Template.” An underlying goal, initially spurring design and development of the Template, is the recognized need to achieve greater uniformity of service offerings at each and every Career Center, both from the perspective of the job seeker customer and that of the employer customer. A degree of regional and sub-regional latitude with respect to the precise nature of certain Career Center services is readily acknowledged, and the Template is not designed to be overly prescriptive in this regard. There is much value, however, in a workforce development system that consistently delivers a baseline of quality services to all customers. The Career Center Operations Template is Attachment 9.

D. What policies support a demand-driven approach, as described in Part I. “Demand-driven Workforce Investment System,” to workforce development – such as training on the economy and labor market data for local Board and One-Stop Career Center staff?

The Labor Market Information of the Alabama Department of Industrial Relations, Labor Market Division, provides training to Career Center staff and board members. The design and direction of training sessions flow directly from the goals and initiatives expressed in the State’s Workforce Development Strategic Plan. (See Attachment 4).

E. What policies are in place to ensure that the resources available through the federal and/or State apprenticeship programs and the Job Corps are fully integrated with the State’s One-Stop delivery system?

*Modified,
5/1/07*

Career Center staff are knowledgeable of apprenticeship, Job Corps, and related workforce development programs available within their area, facilitating their referral of customers to these services. All Career Center One-Stop Partners are encouraged to refer qualified applicants to the Job Corps program.

VII. Describe the actions the State has taken to ensure an integrated one-stop service delivery system Statewide.

A. What State policies and procedures are in place to ensure the quality of service delivery through one-stop centers such as development of minimum guidelines for operating comprehensive one-stop centers, competencies for career center staff or development of a certification process for centers?

The Alabama’s Career Center System Operations Template contains State Workforce Investment Board policy guidance regarding Career Center operations. Specific policies and procedures outlined within the Template cover, in part, service delivery integration, collocation, customer service, and reporting. The Template is reviewed and

updated as needed to better enable the Career Center Network to collectively achieve our goals for the Career Center Systems, i.e., to grow in the directions determined by local needs and higher policies. The structure of this ongoing review of individual Career Center activities against operational guidelines set forth in the Career Center Operations Template is very close to a certification process. (Attachment 9).

B. What policies or guidance has the state issued to support maximum integration of service delivery through the career center delivery system for both business customers and individual customers?

Among the Governor's expressed goals for the Alabama Workforce Development System is achievement of greater working on integration at the Career Center level. Specific guidance regarding strategies for such integration is provided through the Career Center Operations Template, the Workforce Planning Council, and from the State Workforce Investment Board. (Attachment 9).

C. What actions has the state taken to promote identifying career center infrastructure costs and developing models or strategies for local use that support integration?

A committee of one stop Partner representatives originally developed and implemented strategies for services integration at the Career Center level. Full integration is accomplished at many Career Center locations. Pending legislation may not allow for stand-alone One-Stop Partner facilities.

D. How does the state use the funds reserved for statewide activities pursuant to section 129(b)(2)(B) and 134(a)(2)(B)(v) to assist in the establishment and operation of career center delivery systems?

No special allocation of WIA 15 Percent Statewide Activity funds is made to local areas for One-Stops. The State does pay its share of costs through a cost allocation, which ensures costs for services at the One-Stops are paid by the benefiting fund sources such as WIA 15 percent Adults or Dislocated Workers. Two local areas do have nominal costs associated with State-level program participants, which are covered by these two local areas out of formula (program) funds. The State uses some of the 15 percent funds for technical assistance and training for career center staff capacity building. The State also funds the WIA management information system to include State staff who manage the system. There is also an interagency computer system (IELS, funded by the State), which allows various partner agencies to share data on individuals seeking human resource services.

E. How does the state ensure the full spectrum of assets in the career center delivery system support human capital solutions for business and individual customers broadly?

The Career Center Operations Template, designed by State Workforce Development partners staff and approved by the State Workforce Investment Board, encourages Career Center staff Cross-Awareness Training on a monthly basis. This training better ensures that all partners in the Career Center are knowledgeable of the full range of One-Stop Partner agency programs and services available to job-seeker and employer customers. (See Attachment 9).

VIII. Administration and Oversight of the Local Workforce Investment System

A. Local Area Designations

- 1. Identify the State's designated local workforce investment areas and the date of the most recent area designation, including whether the State is currently re-designating local areas pursuant to the end of the subsequent designation period for areas designated in the previous State Plan.**

*Modified,
5/1/07*

The most recent re-designation of local areas within the State of Alabama occurred on February 1, 2007 and is effective through June 30, 2009. The three local areas are: Jefferson County (Birmingham); Mobile County (Mobile); and the remaining 65 counties form the Alabama Workforce Investment Area.

- 2. Include a description of the process used to designate such areas. Describe how the State considered the extent to which such local areas are consistent with labor market areas: geographic areas served by local and intermediate agencies, postsecondary education institutions and area vocational schools; and all other criteria identified in section 116(a)(1) in establishing area boundaries to assure coordinated planning. Describe the State Board's role, including all recommendations made on local designation request pursuant to section 116(a)(4).**

The criteria listed in 116(a)(1) were considered. Jefferson and Mobile counties met them and the AWIA also met them. All three had successful experience as service delivery areas under the Job Training Partnership Act. Jefferson County met the 500,000 population criterion. Since there were no requests for change in designation and no requirement to change the designation, the re-designation was a pro forma exercise.

- 3. Describe the appeals process used by the State to hear appeals of local area designations referred to in 112(b)(5) and 116(a)(5).**

WIA section 116(a)(5) states that a unit of general local government including a combination of such units or grant recipient that requests but is not granted designation as a local area under WIA section 115(a)(2) or section 116(a)(3), and that does not meet the criteria for automatic designation under section 116(a)(2), or for temporary and subsequent, under section 116(a)(3), may submit an appeal to the State Board.

Within 10 working days of providing notice of intent to file an appeal, the appellant must submit its rebuttal package via certified mail to the OWD Director. The rebuttal package should address all issues raised or questions asked by the State Board in rendering their decision and indicate if a formal hearing is requested. The appellant may be asked to provide additional information/documentation.

The OWD staff will work in conjunction with the State Board to expedite review of a designation appeal and to schedule a formal hearing, if requested, before the State Board. Efforts will be made by OWD staff to enable State Board members to review the appeal informally, i.e., via mail-outs. If the situation warrants, the Board may be convened by the Governor in advance of a scheduled meeting date in order that the appeal may be resolved within 30 days of filing.

If the appeal to the State Board does not result in designation, the appellant, if appealing under WIA section 116(a)(2) or section 116(a)(3), may request review by the Secretary under 20 CFR Part 667.645. An appeal to the Secretary must be submitted by the appellant no later than 30 days after receipt of written notification from the State Board that the appeal has been denied. Appeals must be submitted by certified mail, return receipt requested, to the Secretary, U.S. Department of Labor, Washington, D.C. 20210, Attention: ASET. A copy of the appeal must be simultaneously provided to the State Board.

If the Secretary determines that the appellant was not accorded procedural rights under the appeal process established under the above section, or that the area meets the requirements for designation in WIA section 116(a)(2) or 116(a)(3), the Secretary may require that they are to be designated as a Workforce Development area. The Secretary must issue a written decision to the Governor.

B. Local Workforce Investment Boards – Identify the criteria the State has established to be used by the chief elected official(s) in the local areas for the appointment of local board members based on the requirements of section 117.

Section 117(b)(1) requires the Governor certify the composition of local workforce investment boards is consistent with the below indicated membership requirements. (Note that a single board appointee may satisfy more than one of these requirements):

1. The Chief Elected Official of each local area will appoint the membership for that area's local board.
2. The Governor will certify the chief elected official's board appointments.
3. The size of local boards is left to the discretion of each local area.
4. The majority of local board members must represent private sector business concerns, and the local board chair must be selected from this segment. Business representatives must be those with optimum policy making or hiring authority who reflect the employment opportunities of the area.
5. Each of the Workforce Investment Act "One-Stop" partner agencies must be represented on the local board.

6. Other agencies that must be represented on the local board:
 - a) Local education agencies
 - b) Organized labor
 - c) Community-based organizations
 - d) Economic development agencies
 - e) Veterans organizations
 - f) Other appropriate agencies

C. How will your state build the capacity of local boards to develop and manage a high performing local workforce investment system?

Training and technical assistance funding is provided to local areas each year. Building the capacity of the local board is certainly one of the allowable expenditures for these funds. The state schedules conferences to provide staff and board members exposure to training and emerging concepts. When local areas exhaust their supply of technical assistance funds, the state makes available funds available upon request.

D. Local Planning Process – Describe the State-mandated requirements for local workforce areas’ strategic planning. What assistance does the State provide to local areas to facilitate this process, including:

1. What oversight of the local planning process is provided, including receipt and review of plans and negotiation of performance agreements?

Efforts to assure local area awareness of developments regarding the State Plan Modification and state-prescribed requirements regarding their respective local plans are ongoing. Local areas are provided specific guidance for preparation of their local plans through Governor’s Workforce Development Directives. The submission date for PY 2007/PY 2008 local plan modifications is May 4, 2007. This date allows sufficient time for local area plan development, local board review of the local plans, and the opportunity for public review and comment. Local areas plans detail their efforts to move WIA programs toward talent development systems, strategies for better adapting to the demands of the emerging global economy, strategies to serve the most-in-need youth, and strategies to appropriately expand workforce information assets. Additionally, local plans are to indicate how they will increase the amount of funds available for training by decreasing administrative and infrastructure expenditures, explain the review and comment element of the local planning plan process, and how coordination with faith-based and community organizations is achieved. Local area performance goal negotiation will be executed once the state and USDOL have finalized state-level PY 2007 / PY 2008 performance goals. A local area performance goal adjustment methodology has been developed.

*Modified,
5/1/07*

2. How does the local plan approval process ensure that local plans are consistent with state performance goals and state strategic direction?

The local plan approval process is not dependent on performance goal negotiations. The time lines are in disagreement. Local plans are reviewed with state strategic plan elements in mind. Local plan consistency with the State plan is required.

E. Regional Planning (§§112(b)(2), 116(c).)

1. Describe any intra-state regions and their corresponding performance measures.

In 2004, the Alabama Workforce Planning Council established ten workforce development regions within the Alabama sixty-five county balance-of-state local area. Each region consists of about six to eight counties. Jefferson County and Mobile County are not included because they are independent local areas with their own local workforce investment boards.

Each of the ten regions has a Regional Workforce Development Advisory Council, with representatives from regional planning and development commissions, local government councils, local chambers of commerce, postsecondary education entities and major area employers. Currently, the total number of members for all ten councils stands at 227 with about 20 to 30 members per council.

2. Include a discussion of the purpose of these designations and the activities (such as regional planning, information sharing and/or coordination activities) that will occur to help improve performance. For example, regional planning efforts could result in the sharing of labor market information or in the coordination of transportation and support services across the boundaries of local areas.

The ten Regional Advisory Councils function in an advisory capacity to the Alabama Workforce Investment Area Board in the design and delivery of workforce development activities and services operated within each regions. The councils focus on designing a workforce development system tailored to a particular region's specific workforce development needs, aligning education, training, and other skills development program offerings with local labor market employment needs and opportunities. The Regional Council planning team applies relevant labor market information, demographics, economic projections, and other pertinent data toward their efforts to fashion talent development systems which better provide solutions to a range of regional economic and workforce needs.

Regional Councils, drawing on their unique perspective, and noting local economy occupational growth trends, provide the State Board with additional guidance, reviewing and commenting on planned regional education and training activities, assisting in coordination of economic development strategies, working to develop linkages with regional employers, recommending priorities for adult training activities, identifying the more viable youth development activities and youth providers, and useful input towards developing new strategies for effectively leveraging Federal workforce development funds through increased private sector involvement in the Alabama Career Center System. The Regional Advisory Councils provide the AWIA Board written input on the regions on a regular basis, but not less than once per year.

*Modified,
5/1/07*

The Regional Council concept is consistent with efforts to effectively transition from a job training system toward a talent development system, particularly a system that is agile enough, responsive enough, and appropriately structured to potentially provide the job seekers and employers comprising the workforce system an adaptive, responsive, demand-driven product.

3. For inter-state regions (if applicable), describe the roles of the respective governors and state and local boards.

*Modified,
5/1/07*

Alabama is currently partnering with adjacent States in the design and execution of two Workforce Innovations in Regional Economic Development (WIRED) regional grant awards. One WIRED grant, targeting eighteen West Alabama and nineteen East Mississippi counties, runs through June 30, 2008, is for \$15 million. A second WIRED grant, affecting fourteen North Alabama counties and nine South Tennessee counties, is for \$5 million, and runs through June 30, 2009. Both WIRED grants help fuel economic and workforce development efforts specifically tailored to the particular strengths of the affected regions. Additionally, there is a strong effort to coordinate North Alabama – South Tennessee WIRED grant activities to the extent feasible with regional operations funded under the Base Realignment and Closing (BRAC) initiative.

F. Allocation Formulas

- 1. If applicable, describe the methods and factors (including weights assigned to each factor) your state will use to distribute funds to local areas for the 30 percent discretionary formula adult employment and training funds and youth funds pursuant to section 128(b)(3)(B) and 133(b)(3)(B).**

The State of Alabama will apply the “alternate” Section 128(b)(3)(B) Youth and Section 133(b)(3)(B) Adult allocation formulas to sub-state allocations during Program Years 2007 and 2008. The “alternate” procedures seem an effective means to ensuring that available WIA employment and training funds are appropriately better channeled to urban areas. The “alternate” Youth and Adult formulas apply seventy percent weights to the basic Section 128(b)(2) and Section 133(b)(2)(A) local area statutory formulas. The remaining weights, i.e., thirty percent, are comprised of local area “excess poverty” and “unemployment above the State average” information.

The excess poverty “alternate” allocation component is derived from 2004 Survey for Policy Research (SPR) Alabama County poverty data and 2004 Alabama CPS Population data. The State applies the same “above 7.5% of population” criteria legislatively required to identify “excess poverty” for Welfare-to-Work program allocation purposes to capture the “excess poverty” WIA Adult and WIA Youth “alternate” allocation formula components.

The WIA “alternate” formula “Unemployment above State average” component is calculated in much the same way as the WIA formula “excess unemployment” component. The difference is the WIA formula defines “excess unemployment” as that above 4.5% of the labor force; “unemployment above the State average” is that unemployment above the Alabama average, i.e., 3.603% of the labor force.

The two above “alternate” Thirty Percent formula elements are pooled, resulting in a single Poverty/Unemployment index for each county/allocation entity. In order that a greater share of available WIA resources might be directed toward the easing of local conditions of poverty, a seventy-five percent weight is assigned to the poverty factor in this pooling, and a twenty-five percent weight assigned to the unemployment factor. The structure of the “alternate” formulas and its greater focus on the incidence of local area conditions of poverty should help lessen the adverse effects of any year-to-year WIA funding changes which may occur.

2. Describe how the allocation methods and factors help ensure that funds are distributed equitably throughout the state and that there will be no significant shifts in funding levels to a local area on a year-to-year basis.

The structure of the “alternate” formulas and its greater focus on the incidence of poverty at the local area–level should help lessen the adverse effects of any year-to-year fluctuations in WIA appropriation levels. Coupled with the WIA statutory hold-harmless funding provisions, use of the alternate allocation formula further affords State-level WIA program administrators the added flexibility required to minimize any adverse effects on one or more local areas that may be brought on by year-to-year shifts in WIA funding. The weights assigned by the State to “alternate” formula components, i.e. 75% and 25%, may be adjusted as deemed appropriate to accommodate any future shifts in WIA funding levels.

3. Describe the state’s allocation formula for dislocated worker funds under section 133(b)(2)(B).

*Below Tables
Modified, 5/1/07*

Section 133(b)(2)(B) Dislocated Worker funds annually allotted to the state are formula allocated among the three Alabama local areas. This allocation is accomplished using the six-part formula prescribed at Section 133(b)(2)(B)(ii). (See following chart.)

DISLOCATED WORKER ALLOCATION SIX-PART FORMULA

ALLOCATION FACTOR	WEIGHT ASSIGNED IN FORMULA	DATA SOURCE(S) AND TIME PERIOD
1. Average Monthly U.I. Beneficiaries (“Insured Unemployment Data”)	19%	Department of Industrial Relations/Labor Market Information - 10/05-9/06
2. Excess Unemployment (“Unemployment Concentrations”)	19%	Department of Industrial Relations/Labor Market Information - 10/05-9/06
3. Estimated Layoffs (“Plant Closing/Mass Layoff Data”)	19%	Department of Industrial Relations/Labor Market Information - 10/05-9/06
4. Jobs Lost (All Industries) (“Declining Industries”)	19%	Department of Industrial Relations/Labor Market Information - 2001-2002
5. Farm Operators Change (“Farmer-Rancher Economic Hardship”)	5%	2002 Census of Agriculture
6. Unemployment Compensation Exhaustees (“Long-Term Unemployment Data”)	19%	Department of Industrial Relations/Labor Market Information - 10/05-9/06
	100%	

LOCAL AREA FORMULA ALLOCATION CHART

PY2007 LOCAL AREA, STATE LEVEL ALLOCATIONS				
LOCAL AREA	ADULT	YOUTH	DISLOCATED WORKERS	TOTAL
AWIA	\$7,593,872	\$7,890,157	\$6,882,976	\$22,367,005
JEFFERSON	\$534,627	\$529,666	\$834,576	\$1,898,869
MOBILE	\$1,220,618	\$1,256,390	\$499,541	\$2,976,549
STATE-LEVEL				
15% Funds	\$1,649,843	\$1,707,566	\$1,450,074	\$4,807,483
Rapid Response			\$0	\$0
TOTAL	\$10,998,960	\$11,383,779	\$9,667,167	\$32,049,906

The above-outlined WIA sub-state fund allocation methods and procedures are developed and implemented with the full cognizance and involvement of the State Board.

4. **Describe how the individuals and entities on the state board were involved in the development of the methods and factors, and how the state consulted with chief elected officials in local areas throughout the state in determining such distribution.**

Draft allocation policies and methods, along with the funds allocation information, are available for review and comment. The staff who perform the calculations are always available to respond to questions. Questions regarding these processes have been asked and answered at State Workforce Investment Board meetings. Local areas are notified of the outcomes in terms of funding as well as the procedures for the allocations. Local elected officials are provided drafts of allocation policies and are asked for their review and comment. This assures that time is allowed for comments prior to the time the directive is published as policy.

G. Provider Selection Policies (section 112(b)(17)(A)(iii), 122, 134(d)(2)(F).

1. **Identify the policies and procedures to be applied by local areas for determining eligibility of local level training providers, how performance information will be used to determine continuing eligibility and the agency responsible for carrying out these activities.**

The workforce development system established under Workforce Investment Act (WIA) emphasizes informed customer choices, system performance, and continuous improvement. The eligible training providers list is part of the strategy for achieving such goals. Local Workforce Investment Boards (LWIB), in partnership with the State, determine training program eligibility.

The ability of providers to successfully perform the procedures local boards and the State use to establish eligibility, and the degree to which information on providers is made available to customers are key factors affecting the successful operation and administration of the eligible training providers' system. Eligible training providers are those entities determined eligible to receive WIA Title I funds to provide programs of training services described in Section 134 (d) (4) of the Act to eligible adult and dislocated worker customers. After receiving core and intensive services and consultation with case managers, eligible participants who need training use the list of eligible providers to make informed choices of the type of training needed and appropriate.

Local areas strive to attract a broad array of eligible training providers in order to maximize customer choice with demand-driven training programs. As a vital ingredient in an effective local application process, local boards make publicly available the instructions for making applications.

WIA extends automatic initial eligibility to a provider that is either:

- a postsecondary institution that is eligible to receive Federal funds under Title IV of the Higher Education Act of 1965 and provides a program that lead to an associate degree, baccalaureate degree, or certificate, or,
- an entity that carries out training programs under the National Apprenticeship Act.

This includes universities, colleges, community colleges, some proprietary schools, and apprenticeship programs registered with the Bureau of Apprenticeship and Training within the U. S. Department of Labor.

Such institutions or entities, though determined to be automatically eligible, must submit written training program applications to be reviewed by the LWIB in which the provider desires to provide the training program(s). Program applications will describe the submitted program as defined in 20 CFR Part 663.508.

Each LWIB has developed a written application process for initial eligibility for providers of training programs who are **not** automatically eligible. These programs must meet performance criteria in order to secure WIA training service provider status. These initial eligibility procedures include instructions on how to submit applications to the LWIB, the contents of the application, program-specific performance and cost information reporting, and any additional informational requirements that the State may require. All provider applicants will provide to the appropriate LWIB the information required by the standardized *Provider Application for Eligibility Under the Workforce Investment Act* (Form TPCS-1).

The LWIB must also specify the timing, manner, and contents of the required application procedure. At a minimum, the procedures will include:

- requirement for submission of applications to the local board at such time and in such manner as required which will contain a description of the training program;
- if the provider is currently providing the training program on the date of application submission, procedures must require that the application include an appropriate performance information and cost information described in 20 CFR Part 663.540, and the program meets appropriate performance levels: and (WIA Section 122 (b)(2)(D).
- if the submitted program is a newly developed program, procedures must require that the training provider meets appropriate requirements specified in the procedures of application process (WIA Section 122(b)(2)(D).

Applications for training program eligibility determination will be accepted throughout the year. An LWIB shall provide a written determination of acceptance or rejection to an applying training provider within ninety (90) calendar days of the receipt of the initial eligibility determination application. LWIB staff or representatives shall, as determined reasonable by the LWIB, make an on-site visit to training provider sites for the purpose of confirming submitted information.

Local workforce investment areas that border other states make the process known to providers in those states who may desire to apply for consideration to have programs placed on Alabama's Eligible Training Providers List. The same application and approval process is followed in receiving and processing programs submitted by out-of-state providers. Also, the State and local areas may establish reciprocal agreements with other States in order to permit approved providers programs in those states to be considered by Alabama applicants and to accept Alabama Individual Training Accounts (ITAs) in determining and providing appropriate training.

LWIB policy shall determine the circumstances under which reconsideration of a denied application may be afforded to a provider that was denied initial eligibility determination. A training provider whose application for certification was denied may reapply no sooner than six (6) months after the written notice of denial.

After an LWIB has approved a training program, including those that have automatic initial eligibility and those required to qualify for initial eligibility, the LWIB then submits a copy of the provider application including all reported program description information, performance information, and cost information to Office of Workforce Development: State Planning.

Upon receipt of LWIB-approved programs, OWD will review and certify within thirty (30) calendar days of receipt of program from an LWIB. However, the LWIB may request that OWD certify a program on or about the requested date. The approved training program is then entered onto Alabama's Eligible Training Providers List and becomes available via the internet for customer and career center use.

WIA Section 122(c)(5) states that the Governor must require training providers to submit performance information annually. A waiver of this provision was requested and received (see Attachment 8).

Although a waiver has been granted, training providers provide, and the State posts, information as complete as possible on all training providers such as:

- program completion rates for all individuals participating in the applicable program,
- percentage of all individuals participating in the applicable program who obtained unsubsidized employment, which may include information specifying the percentage of individuals who obtained unsubsidized employment in an occupation related to the program of training, and
- the wages at placement of all individuals participating in the applicable program.

Information on WIA program participants who received assistance under WIA Section 134:

- percentage of participants who have completed the applicable program and who are placed in unsubsidized employment,
- retention rates in unsubsidized employment of participants who have completed the applicable program, six months after the first day of employment,
- wages received by participants who have completed the applicable program, six (6) months after the first day of employment, and
- where appropriate, the rates of licensure or certification, attainment of academic degrees or equivalents, or attainment of other measures of the skills of graduates of the applicable program.

Also, information on program costs (such as tuition, fees, books, supplies, tools, etc.) must be reported for all training programs.

WDD shall assist, as necessary, in providing LWIB information on wages and retention rates in unsubsidized employment of participants of applicable programs for the period ending six (6) months after first date of employment. An LWIB may request WDD to consider supplemental follow-up information regarding training programs that might not be covered by Unemployment Insurance Wage Records.

If the WDD, after consulting with LWIB, determines that a training provider or individual representing a training provider knowingly submits erroneous information for any program, the training provider will be removed from the Eligible Training Providers List for a period of not less than two (2) years. A provider that is removed must wait at least two (2) years to submit a new application.

- 2. Describe how the state solicited recommendations from local boards and training providers and interested members of the public, including representatives of business and labor organizations in the development of these policies and procedures.**

WIA planning sessions and workshops facilitate State efforts to solicit and consider recommendations from local boards, local area training providers, members of the general public, and representatives of business and labor organizations. A directive on Certification of Eligible Training Providers was distributed to local boards and training providers. Also, a public notice was placed in local newspapers around the state to advise interested parties of directive on the subject of determination of eligible training providers and availability for review and comments.

- 3. How will the state maintain the state's eligible training provider list?**

The WDD has compiled one single State list of eligible training providers and programs from local areas in the state. The Eligible Training Providers List consists of program description information, performance information, and cost information for each approved training program and is available via the Internet. The State's Eligible Training Providers List is updated as changes occur and are reported to WDD in order to provide current and up-to-date information to allow for informed customer choices.

- 4. Describe the procedures the governor has established for providers of training services to appeal a denial of eligibility by the local board or the designated state agency, a termination of eligibility or other action by the board or agency, or a denial of eligibility by a one-stop operator. Such procedures must include opportunity for a hearing and time limits to ensure prompt resolution.**

Local Level Appeals: If an LWIB denies an application for initial eligibility or terminates a program's eligibility, the board must provide notice with a letter of denial/termination and the reasons for denial/termination as well as the description of an appeal process.

At a minimum, the procedure must allow:

- an opportunity for an informal resolution and hearing to be completed within sixty (60) calendar days of the filing of the grievance or complaint; and
- an opportunity for a local level appeal to State-WDD when:
 - > no decision is reached at the local level within sixty (60) calendar days, or
 - > the applicant is dissatisfied with the local level hearing decision.

A training provider may submit a written request for an appeal of a local level decision to the Director of Workforce Development Division (WDD) within thirty (30) calendar days after written notification of the local board's decision. The WDD Director or designee will allow for a hearing or other method of resolution agreeable to parties involved. The hearing or other means of resolution shall be completed and a decision issued within thirty (30) calendar days of WDD receipt of the appeal.

If the provider disagrees with the decision of the WDD Director, the decision may be appealed to the OWD Director. The OWD Director shall review the appeal and issue a decision within thirty (30) calendar days.

The decision of the OWD Director is final and may not be appealed to the Secretary (20 CFR Part 667.640 (b)).

State Level Appeals: WDD-State denial of an application for initial eligibility, termination of a program's eligibility, or other enforcement action with respect to a training provider may be appealed. A written request for appeal must be submitted to Director of OWD within thirty (30) calendar days of the date written notice of denial, termination, or other enforcement action from WDD was received by the training provider. The appeal may be requested by the provider or LWIB of the area in which the provider applied. The OWD Director or designee shall review the appeal and issue a final decision within sixty (60) calendar days of receipt of the appeal.

The decision of the OWD Director is final and may not be appealed to the Secretary (20 CFR Part 667.640 (b)).

- 5. Describe the competitive and non-competitive processes that will be used at the state level to award grants and contracts for activities under Title I of WIA, including how potential bidders are being made aware of the availability of grants and contracts. (section 112(b)(16))**

The state has Procurement Procedures, which were developed in accordance with 29 CFR 97.36. Public notices, mass mailings to industry trade associations, posting notices on our Website (to include RFPs) are used based upon the particular service(s) being sought. Proposals are reviewed by Proposal Review Teams and subsequent recommendations made for funding to occur (possibly subject to negotiations). In regard to the Incumbent Worker Training (IWT) program, information is provided on the Website, presentations are made at Chambers of Commerce, and other meetings. Applications, which are reviewed and acceptable, are funded on a first-come, first-funded basis until available funds for the IWT program are obligated. Sole-source procurements are limited in number and should be limited to the criteria at 29 CFR 97.36(d)(4).

- 6. Identify the criteria to be used by local boards in awarding grants for youth activities, including criteria that the governor and local boards will use to identify effective and ineffective youth activities and providers of such activities. (section 112(b)(18)(B))**

*Modified,
5/1/07*

Responsibility for the initial development and appropriate subsequent modification of the criteria applied by the local areas in awarding grants for youth activities is delegated to local workforce investment boards, with appropriate input from local area Youth Councils. Such selection criteria will, however, duly reflect the appropriate emphasis on curricula supporting the development of lifelong learning opportunities, to include a strong foundation in academic skills, coupled with developing increased knowledge of and proficiencies in emerging technologies and applied vocational skills. The design and development of Youth programs will additionally reflect applicable requirements of the Workforce Investment Act, WIA regulations, and State policies.

H. One-Stop Policies (112(D)(14))

- 1. Describe how the services provided by each of the required and optional one-stop partners will be coordinated and made available through the one-stop system. Include how the state will consolidate Wagner-Peyser Act funds to avoid duplication of core services. (section 112(b)(8)(A))**

Services are coordinated through frequent Cross-Awareness Training sessions and Career Center staff meetings. This communication about services and programs is essential to coordination. Close coordination also exists with non-located partners. These partners participate on the local Career Center Advisory Committees, which have a significant private sector membership, in addition to the workforce agencies represented.

Modified, 5/1/07

One-Stop partner cooperation, through the coordination of staff activities and innovative leveraging of resources, will facilitate the integrated service delivery of core services, thus avoiding duplication while gaining efficiencies. In generic service areas, such as reception, resource room, and employer relations, staff is virtually fungible. This flexibility is also being advanced in the area of employer relations through Career Center partner services marketing efforts. This transitional integration and consolidation of services will continue with further staff capacity building gained through cross-awareness training.

2. Describe how the state helps local areas identify areas needing improvement and how technical assistance will be provided.

The State-level Career Center partners have review teams which assess the status of efforts toward local implementation of the State Workforce Investment Board's Career Center Operations Template. Functional policies and procedures at all comprehensive and satellite Career Centers are contrasted against the associated operational guidelines, as expressed within the Career Center Operational Template. State-level monitoring efforts further work to determine how closely actual activities of the individual partner agencies at the Career Center mirror the roles and responsibilities with which these agencies are charged, per Career Center Template specifications. Partner agencies have individual monitoring and assessment systems.

3. Identify any additional state-mandated one-stop partners (such as TANF or Food Stamp Employment and Training) and how their programs and services are integrated into the one-stop career centers.

TANF is one of the partners in Alabama's Career Center System. They are not, however, colocated in Career Centers. TANF representation in One-Stop Partner committees at the State and local level is a measure to ensure TANF-related interests receive due consideration.

I. Oversight/Monitoring Process – Describe the monitoring and oversight criteria and procedures the state utilized to move the system toward the state’s vision and achieve the goals identified above, such as the use of mystery shoppers, performance agreements. (section 112(b)(14))

The State Program Integrity Section is responsible for providing the Governor and State Board with the capability of oversight of all WIA grant recipient activities and of self-evaluation of State-supported programs and services. Monitoring responsibilities include a systematic, periodic, and objective review of WIA management/fiscal systems to ensure compliance with the Act, WIA Regulations, Governor's Workforce Development Directives, Five-Year Plans, Grant and Subgrant Agreements, policies and other Federal and State contractual agreements funded by the Workforce Investment Act. Additionally, the State Program Integrity Section provides the Governor with an on-site technical assistance capability for programs which do not meet performance criteria or for programs which have otherwise demonstrated a need for technical assistance.

Specifically, the State Program Integrity Section reviews activities, services, administration, and management practices to ensure compliance with the Act, Federal and State Regulations, OMB Circulars, Government Auditing Standards, ADECA Audit Policy, Generally Accepted Accounting Procedures (GAAP), State Law and Governor's Workforce Development Directives.

The section monitors sub-recipient performance against the specifications in the WIA Plan and achievement against performance standards. Included in this activity is an annual review of WIA self-evaluation procedures, monitoring procedures, reports, fiscal procedures, analysis of program performance evaluations and on-site visits. An annual review is conducted in accordance with the requirement of WIA Section 184(a)(4). In order to assure objective oversight and self-evaluation, the State Program Integrity Section reviews the operation of programs conducted in each WIA in conjunction with evaluation of the availability, responsiveness, and adequacy of the state-level functions; it then makes comments and recommendations to the WDD Division Director with respect to ways to improve or maintain effectiveness of such programs and services. The State Program Integrity Section documents its review activities, any resulting findings, and remedial action recommended or instituted. Relevant documentation is maintained on file within the section.

*Modified,
5/1/07*

Monitoring and oversight of employment services, activities, and outcomes is conducted through a Local Office Assessment/Technical Assistance Program. Local offices are periodically visited to evaluate local office operations, to include integration of services and leveraging of resources, provide technical assistance, make recommendations for needed corrective action, and to assist in the maximum utilization of staff resources. Findings and recommendations are conveyed to management for appropriate review and action.

Career Centers are reviewed by teams made up of representatives of the partner agencies which have a presence within the Career Centers. These reviews are conducted using the Career Center Operations Template as the policy standard. The end product of these reviews provides guidance to local areas and to the individual Career Centers on the establishment of Career Centers according to the policies and guidance consistent with Department of Labor and State workforce partner expectations.

The mystery shopper program has not been implemented.

J. Grievance Procedures. Attach a copy of the state's grievance procedures for participants and other affected parties (including service providers). (Section 122(g) and 181(cc)).

Grievance Procedures are at Attachment 10.

K. Describe the following state policies or procedures that have been developed to facilitate effective local workforce investment systems (section 112(b)(17)(A) and 112(b)(2))

1. State guidelines for the selection of one-stop providers by local boards.

The State's guidelines for the selection of one-stop providers by local boards were adopted in February of 2000. Guideline were developed in accordance with the requirements of 29 CFR Part 97 and 29 CFR Part 95, *Uniform Administrative Requirements for State and Local Governments (Common Rule)*, and the cost principles contained in OMB Circular A-87. These procurement procedures are applicable to programs to include the State's Workforce Investment Board, the state Administrative agency, local workforce investment areas/substate grantees, and local workforce investment boards (LWIBs).

2. Procedures to resolve impasse situations at the local level in developing memoranda of understanding (MOUs) to ensure full participation of all required partners in the one-stop delivery system.

The State hosts WIA Roundtable meetings, providing a common platform for State-level, local area, Career Center, and One-Stop Partner staff, facilitating information exchange, to include joint discussion of a wide range of workforce development policies and practices. The more open, relaxed atmosphere and frank discussion which often characterize these Roundtables are very useful means to effectively communicate ideas, both new and old. Frequently, this common forum provided by the Roundtables is instrumental in better achieving effective communications between workforce development principals. Where an impasse may develop, local area staff may work through state-level staff in their efforts to resolve any such differences.

3. Criteria by which the state will determine if local boards can run programs in-house.

No local boards run programs in-house.

4. Performance information that on-the-job training and customized training providers must provide.

On-the-Job Training and customized training providers are exempted from the State's eligible training provider policy, but local Career Centers are required to maintain performance information of these providers.

5. Reallocation policies.

Local areas quarterly provide the Office of Workforce Development with local area Workforce Investment Act expenditure reports. Both local area and state reports are submitted 35 days after the end of each quarter. These reports will be used to prepare statewide Workforce Investment Act expenditure reports, to be submitted to the USDOL within 45 days following each quarter.

Workforce Investment Act grant funds are available to the State for the program year of allotment and the two succeeding program years. Funds allocated by the State to a local area for a program year are available for expenditure only during that program year and the succeeding program year. Funds not expended by a local area in the two-year period must be returned to the State. Funds so returned are available for expenditure by State and local areas subrecipients only during the third program year of availability.

This expenditure information will trigger any necessary State reallocation of Title I funds. Such reallocations would be from an underexpending or under obligating local area to local areas in compliance with Title I minimum expenditure requirements.

The Governor will reduce state and local area current year allocations by the amount of all unexpended previous year funds if the previous years' expenditure requirement is not met.

A USDOL Title I Notice of Obligation will formally adjust the state's current year allotment to reflect Title I funds gained or lost through national reallocation/deobligation. Upon receipt of nationally reallocated funds, the Governor will immediately allocate the additional funds using the current year Title I allocation formula(s).

Voluntary local area fund reallocations are permissible, but can only be finalized once a local area has agreed to accept the funds another local area wishes to deobligate. Any such voluntary reallocation must be accomplished prior to the fourth quarter of a given program year. Notice of all state/local area fund reallocations is formally transmitted in the State's Workforce Investment Act Allocation/Allotment directives, and is acknowledged by the substate areas through appropriate changes to their respective local area grant agreement packages.

State staff periodically review both State-level and local area-level programs' actual performance against corresponding budgeted or otherwise planned performance levels. These efforts will highlight any areas of local area performance that significantly depart from corresponding service level projections, providing WIA program managers with the data they require in order to develop and/or refine operational strategies.

6. State policies for approving local requests for authority to transfer funds (not to exceed 20 percent) between adult and dislocated worker funding streams at the local level.

The Statewide WIA Fiscal Procedures Manual is a financial manual, developed by the State WIA Office, which provides fiscal guidance to local areas and state-level service providers. It addresses policies such as allowable costs, cash management requirements, obligation requirements, and fund transfers necessary for the efficient management of grant funds. The Manual includes copies of the various forms used in reporting expenditures and/or requesting draw down funds. The Manual is modeled after requirements of the Act and implementing Federal Regulations.

The WIA Fiscal Procedures Manual, Section III.F.1., discusses local area Adult-Dislocated Worker program fund allowability. WIA Section 133(b)(4) authorizes local areas to transfer up to 20% of allocated Adult and/or Dislocated Worker funds between the two programs. **Per USDOL correspondence of June 30, 2005, this transfer authority is raised, through June 30, 2007, to 100 percent of Adult/Dislocated Worker funds. A subsequent request to USDOL/ETA for an extension of this expanded transfer authority, through June 30, 2009, is currently pending.**

All Adult-Dislocated Worker Program fund transfer activity is documented within appropriate local area grant/financial records. Each local area request for fund transfer must be supported by reasonably sufficient justification, detailing how the action, if approved, will better enable the local area to deliver workforce development services to individuals eligible for and in need of those services.

7. Policies related to displaced homemakers, nontraditional training for low-income individuals, older workers, low-income individuals, disabled individuals and others with multiple barriers to employment and training.

Operational and organizational ties between the State, State and Local Boards, and the several related agencies and programs work to help ensure the employment and training needs of displaced homemakers, older workers, low-income individuals, disabled individuals, and other individuals with multiple barriers to employment are duly considered within the Workforce Investment Act program planning and resource allocation process.

Comprehensive Title I program activity planning and resource allocation design provides additional assurance of the equitable representation of such “special needs” populations.

Strong coordinative linkages between State/Local Boards and Senior Citizens Employment Program (SCEP) representatives further supports the objective of providing adequate and appropriate workforce development program services to the Older Workers population. Similarly, the maintenance of appropriate WIA services delivery to persons with disabilities is supported by Alabama Department of Rehabilitation Services (ADRS) representation on State/Local Boards.

Federal guidance regarding workforce development service delivery to these targeted population segments is generally disseminated by the State to local Boards, One-Stop Career Centers, and other One-Stop Partner agency principals via Governor’s Workforce Development Directive issuance or Career Center Advisory Letters. Issues of particular immediacy and gravity may require more direct transmittal vehicles, i.e., correspondence directly from the Governor to the affected workforce development principals.

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Employment Services and Rehabilitation Services have a long history of strong coordinative linkages to better ensure that persons with disabilities have full access to all labor exchange and informational services. In each Career Center there is at least one Wagner-Peyser-funded staff person whose duties include functional responsibilities for services to persons with disabilities, as prescribed in Section 8(b) of the "Wagner-Peyser Act." Persons with disabilities will be provided basic core services under the Wagner-Peyser Act along with more intensive services when indicated. Referral to training under WIA or Rehabilitation Services will also be accomplished where appropriate.

- 8. If you did not delegate this responsibility to local boards, provide your state's definition regarding the sixth youth eligibility criterion at section 101(13)(c)(iv) ("an individual who requires additional assistance to complete an educational program, or to secure and hold employment"). (section 112(b)(18)(A) and 20 CFR 664.210))**

This responsibility was delegated to local boards.

IX. Service Delivery – Describe the approaches the state will use to provide direction and support to local boards and the one-stop career center delivery system on the strategic priorities to guide investments, structure business engagement, and inform service delivery approaches for all customers. (section 112(b)(17)(A))

A. One-stop Service Delivery Strategies (112(b)(2) and 111(d)(2)).

- 1. How will the services provided by each of the required and optional one-stop partners be coordinated and made available through the one-stop system? (section 112(b)(8)(A)).**

Services are coordinated at the State level through a Career Center Partner Committee. This Committee meets on an as-needed basis to look at issues in the Career Center System. It reviews local Career Center operations and makes policy recommendations in the form of Alabama's Career Center System Memoranda. These are signed by the directors of each of the partner departments. One of the items put forth by this Committee was the Career Center Operations Template. This was developed as a policy recommendation by the Committee, then approved by the State Workforce Investment Board. The Operations Template contains instructions for the coordination of programs and services through communication at the Career Center level. Staff meetings and cross-awareness meetings are required for each Career Center, as well as having an advisory committee to advise the Career Center on coordination and services provided.

- 2. How are youth formula programs funded under section 128(b)(2)(A) integrated in the one-stop system?**

Career Center staff are knowledgeable of the currently funded and operational WIA Youth programs most appropriate to better meet the educational and training needs of their Youth customers. Many youth programs depend on the Career Center for recruitment, eligibility determination, and assessment. Youth programs which do not depend on the local Career Center for these services are notified of these WIA Youth programs through appropriate information linkages.

3. What minimum service delivery requirements does the state mandate in a comprehensive one-stop centers or affiliate site?

WIA Title I-B (adult, youth, and dislocated worker) services, Employment Service, Rehabilitation Services, Adult Education, Trade Act, Labor Market Information, and Veterans Services. Many other services are available in some of the comprehensive centers.

4. What tools and products has the state developed to support service delivery in all one-stop centers statewide?

Among such tools and products are: adoption of a statewide Career Center System logo; identifying Career Center staff with name tags adorned with this Alabama Career Center System logo; implementation of the Career Center Operations Template requirement that Career Centers no longer use signs identifying various One Stop Partner staff by agency affiliation, but rather use signs that identify these staff by function; having a single telephone system for a Career Center, and using Career Center letterhead.

5. What models/templates/approaches does the state recommend and/or mandate for service delivery in the one-stop centers? For example, do all one-stop centers have a uniform method of organizing their service delivery to business customers? Is there a common individual assessment process utilized in every one-stop center? Are all one-stop centers required to have a resource center that is open to anyone?

A Career Center System Operations Template was approved by the State Workforce Investment Board in 2002. This Template, which is Attachment 9, contains mandated policies for all Career Centers in the State. Career Centers do not have a uniform method of organizing their service delivery to business customers, but the local areas work closely together and similar methods are used. There is not a single assessment process used at all Career Centers. All Career Centers are required to have a resource center.

B. Workforce Information – A fundamental component of a demand-driven workforce investment system is the integration and application of the best available state and local workforce information including, but not limited to, economic data, labor market information, census data, private sources of workforce information produced by trade associations and others, educational data, job vacancy surveys, transactional data from job boards, and information obtained directly from business. (section 111(d)(8), 112(b)(1), and 134(d)(2)(E))

1. Describe how the state will integrate workforce information into its planning and decision making at the state and local level, including state and local boards, one-stop operations, and case manager guidance.

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Among the Workforce Planning Council's principal goals is to design a comprehensive, market-driven, performance-based workforce development system that is based on labor market analysis, and serves as a vital resource which readily adapts to the dynamics of occupational and economic analysis. We recognize that in order to accomplish this goal that working coordination and communication channels are required. Our Labor Market Information Division continues to provide current information and training to workforce development staff. This training has allowed staff to develop information networks with other offices, and has provided valuable in-depth awareness of the range of available information.

While Macro-Workforce Information forms the basis of a demand-driven Workforce Investment System, Micro-Workforce Information obtained directly from businesses is also valuable. Integration of this business-led, real time, reality check serves to either reaffirm the Macro Information or as an early indicator of possible changing trends in "demand". The current grass roots Employer Relations Program, marketing Career Center Business Services availability to individual employers, provides this insight into the state's evolving regional economies.

Another measure of the pulse of business demand is the Alabama State Employers Committee (ASEC). This diverse group of business owners and leaders represents regional economies from through out the state, and serves in an advisory capacity to help identify action strategies which may enhance workforce services. The organization is comprised of 38 local community committees representing approximately 2,500 employers who work with local Career Centers throughout the state. ASEC members serve on several state and local workforce boards and are actively involved in Alabama's Career Center System.

2. Describe the approach the state will use to disseminate accurate and timely workforce information to businesses, job seekers, and employment counselors, in easy to use formats that are readily accessible within one-stop career centers and at remote locations such as libraries, schools, worksites, and at home.

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The Department of Industrial Relations, Labor Market Information Division, regularly makes available new data resources to all parties that may benefit from this information. In many instances, publications, posters, and/or reports are mailed to customers automatically. Some materials are only so provided upon specific request. There is a continuous drive to provide more of this information through the internet in formats that can be accessed by a wider range of users.

Although a wide range of workforce information is available to employer and job seeker customers at a variety of locations across the state, many prospective users of this information are not fully aware this information is available. An ongoing goal of the Employer Relations program remains to help raise employer awareness of both the availability of workforce information, and how employers may access this information.

- 3. Describe how the state's Workforce Information Core Products and Services Plan is aligned with the WIA State Plan to ensure that the investments in core products and services support the state's overall strategic direction for workforce investment.**

These two plans are tied together through the State's Workforce Development Strategic Plan, which coordinates Workforce Development agencies and Labor Market Information (Attachment 4).

- 4. Describe how state workforce information products and tools are coordinated with the national electronic workforce information tools including America's Career Information Network and Career Voyages.**

The Office of Workforce Development (OWD) and One Stop Partner agencies collaborate to effectively integrate two focal electronic information tools, America's Career Information Network (ACIN) and Career Voyages, within the Alabama Career Center System. These tools are channeled to workforce customers through the Alabama Career Information Network (ACIN) System and the Alabama Department of Industrial Relations (ADIR), Labor Market Information (LMI) Division.

ACIN is an integrated, results-oriented statewide system for providing young people and adults (K-Adults) with critical career information resources and the skills they need to make effective educational and career decisions. ACIN has expanded its resource capacity to include national electronic tools provided through the Department of Labor, Department of Education, Office of Vocational and Adult Education, and America's Career Resource Network. The ACIN webpage has links to the DIR/LMI Division's website, which in turn links to various other state and national electronic resource tools.

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The Alabama Department of Industrial Relations, Labor Market Information Division, working with the Bureau of Labor Statistics, is committed to providing consumers of labor market information of the highest quality. With various WIA partners across the state in constant need of more detailed, demand-driven and localized workforce data, covering industries, occupations, skill levels and other economic and demographic factors, resources and tools the ADIR LMI Division draws on national electronic tools such as America's Career Information Network, O*NET, and Career Voyages. ADIR works to better meet the workforce system's information needs with a customized labor market information user

training curriculum, utilizing the expertise and talents of national speakers and trainers and the wealth of national data, information and resources. The ADIR LMI Division and the ACIN System are using creative approaches to the delivery of career-related/labor market information utilizing Internet-based systems, professional development activities to instruct customers in the use of this system and to tie in to the America's JOBS Network Toll-Free Help Line.

C. Adults and Dislocated Workers

1. Core Services Section 112(b)(17)(a)(i)

- a. Describe state strategies and policies to ensure adults and dislocated workers have universal access to the minimum required core services as described in section 134(d)(2).**

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The State requires that local areas indicate within the Memoranda of Understanding (MOU) which partner or partners are charged with providing WIA core services, and how these services are delivered. Generally, eligible adults, dislocated workers, and other workforce system customers are provided WIA core services through the Wagner-Peyser grantee. The Career Center System affords universal access to these services. An individual job seeker may access the system through Alabama Job Link, post a resume, register for work. The effective provision of these services at the local area level is monitored by the Office Workforce Development Program Integrity Section.

- b. Describe how the state will ensure the three-tiered service delivery strategy for labor exchange services for job seekers and employers authorized by the Wagner-Peyser Act includes: (1) self-service, (2) facilitated self-help service, and (3) staff-assisted service, and is accessible and available to all customers at the local level.**

Wagner-Peyser labor exchange services for job seekers and employers are customer-focused, technologically advanced, outcome-driven. Achieving high standards of customer satisfaction is the principal goal. Service delivery is accomplished through a three-tiered service triage strategy, with an increasing emphasis upon self-service.

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This tiered approach initiates with self-service. Where additional job-seeking assistance is needed, the system offers facilitated self-help, and provides direct staff-assisted intervention where the self-assisted option does not yield the desired results. The Employment Service continues in its pro-active partnership-building approach to an integrated workforce delivery system through adaptation of new technologies and automation enhancements, expanding the range of customer services and workforce information available electronically, through self-service.

Alabama JobLink (AJL), a web-enabled One-Stop workforce development system tool provides job seekers' and employers' self-registration and job matching capabilities, empowering customers with new service options. Jobseekers may establish an Internet account to manage their job search activities or register with labor exchange to access staff-assisted services. Employers may establish an account to manage job openings and view job seeker resumes, or seek staff assistance in recruitment, screening, and filling job vacancies. Ready customer access to these self-help job seeking options is further enhanced with the installation of personal computers with Internet connections in the Resource Rooms of all Career Centers.

Wagner-Peyser-funded state merit system staff will assist in providing core services customers requiring facilitated self-help or staff-assisted service.

For customers requiring facilitated self-help or staff-assisted services, Wagner-Peyser-funded state merit system staff will assist in providing core services through the Career Center system, which serves the state's workforce/economic regions.

- c. **Describe how the state will integrate resources provided under the Wagner-Peyser Act and WIA Title I for adults and dislocated workers as well as resources provided by required one-stop partner programs, to deliver core services.**

One-Stop partner resources will be integrated and leveraged through cooperation and coordination of staff activities in the delivery of core services to Adults and Dislocated Workers. In generic service areas, such as reception and resource room, Career Center staff is functionally integrated.

2. **Intensive Services. (section 112(b)(17)(A)(i) Describe state strategies and policies to ensure adults and dislocated workers who meet the criteria in section 134(d)(3)(A) receive intensive services as defined.**

Intensive services are available through Alabama's Career Center System to all adults and dislocated workers who meet the eligibility criteria. They receive assessment, structured interviews, and may initiate an individual employment plan. Career Center staff received instruction in these processes through state-sponsored Career Development Facilitator training, and through statewide conferences. Although an individual customer may not receive the full range of available intensive services, eligible adults and dislocated workers are provided those intensive services that are most needed, as documented within their respective individual service strategies.

3. **Training Services. (section 112(b)(17)(A)(i))**

- a. **Describe the governor's vision for increasing training access and opportunities for individuals including the investment of WIA Title I funds and the leveraging of other funds and resources.**

The Governor's vision, which calls for close coordination and collaboration in workforce development opportunities, is expressed in Executive Order 17 and in the State's Strategic Workforce Development Plan. The primary mission of the Workforce Planning Council lies in execution of the Governor's vision. As stated in Executive Order 17, Council members include the directors of those workforce development agencies that are at the core of the Workforce Investment Act. A number of task forces work to provide the Council with specific action strategy recommendations. The Governor realizes the lack of funding in this area drives the need for collaboration and leveraging of available funds.

b. Individual Training Accounts

- i. **What policy direction has the state provided for ITAs?**

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State policy is that WIA training services must be provided through Individual Training Accounts, except for those cases outlined in the Act. Local boards have placed restrictions on ITAs, establishing maximum amounts of WIA funds that may be paid on each ITA. Generally, a scale is developed, establishing a funding ceiling which corresponds to the planned duration (training months) of a given ITA. Also, ITAs may only be with training providers which appear on the State's Eligible Training Provider list, which is accessible on-line. The manner in which training services are provided maximizes customer choice, yet still promotes only those training services which lead to jobs that are in high demand.

- ii. **Describe innovative training strategies used by the state to fill skill gaps. Include in the discussion the state's effort to broaden the scope and reach of ITAs through partnerships with business, education, economic development and industry associations and how business and industry involvement is used to drive the strategy.**

Many innovative training strategies are being discussed, in particular through and in conjunction with members of the Workforce Planning Council. One case, the need for welders in the ship building industry in Mobile, resulted in a partnership among the Department of Postsecondary Education, the Alabama Industrial Development Training agency, and the Office of Workforce Development. Each partner contributed resources in helping make the program a success, both for the businesses needing the trained workers and the job seekers who successfully entered employment as a direct result of this training. Another example is the growing need for industrial maintenance

workers. The Office of Workforce Development, the State Department of Education (elementary and secondary), and the Department of Postsecondary Education, and local secondary and postsecondary schools formed a partnership to develop a model training program. well.

iii. Discuss the state's plan for committing all or part of WIA Title I funds to training opportunities in high-growth, high-demand, and economically vital occupations.

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One must first identify and profile these “high-growth” training opportunities. Our Labor Market Information agency has worked to develop the best information possible at the local area and regional level. They have provided training in the use and analysis of this information to workforce development and economic development personnel from all over the State. The Workforce Planning Council is working to build the partnerships that are required to get the maximum collaboration with these workforce development partners.

iv. Describe the state's policy for limiting ITAs (e.g., dollar amount or duration).

These decisions are left to local workforce boards.

v. Describe the state's current or planned use of WIA Title I funds for the provision of training through apprenticeship.

The National Apprenticeship System has long been a leader in the training and education field, developing and registering apprenticeship programs. Through efforts of the U.S. Department of Labor, Office of Apprenticeship Training, and Employer and Labor Services staff located in Alabama, the Alabama Workforce Development System partners are learning of these new opportunities to help close the gap between employers looking for workers and jobseekers looking for work.

The Apprenticeship State Director serves on the State Workforce Investment Board, the Alabama Career Technical Education Advisory Council, and the Governor's Workforce Planning Council's Taskforce Committees on Worker Credentialing and the 21st Century Technician Committee. At this time there are no WIA Title I funds designated for the provision of training through apprenticeship; however, the Apprenticeship State Director has met with the Director of the Office of Workforce Development to discuss collaboration of workforce activities with the state's apprenticeship program.

vi. Identify state policies developed in response to changes to WIA regulations that permit the use of WIA Title I financial assistance to employ or train participants in religious activities when the assistance is provided indirectly (such as through an ITA) (20 CFR section 667.266(b)(1)).

There are no state policies in place to use WIA financial assistance to employ, or otherwise train, participants in religious activities when the assistance is provided indirectly through an Individual Training Account activity or any other WIA activity. Any requests for WIA funding which may be submitted by Faith Based and Community Organizations (FBCOs) receive equal consideration along with other applicants for such funding.

- c. Eligible Training Provider List. Describe the state's process for providing broad customer access to the statewide list of eligible training providers and their performance information including at every one-stop career center. (section 112(b)(17)(A)(ii)).**

Alabama's Eligible Training Providers List is accessible via the Internet, thus making it available to customers with Internet capabilities. The eligible training providers list is updated as necessary, with the goal of providing customers accurate, current information regarding available high-demand occupational training. Career center resource rooms are equipped with computers, providing Internet access to customers who might not have such access. Assistance is available for any customers who might have questions regarding proper use of these computers. Career center case managers' immediate access to the eligible training providers list facilitates their assisting customers in making informed choices.

- d. On-the Job Training (OJT) and Customized Training (sections 112(b)(17)(A)(i) and 134(b)). Based on the outline below, describe the state's major directions, policies, and requirements related to OJT and customized training.**

- i. Describe the governor's vision for increasing training opportunities to individuals through the specific delivery vehicles of OJT and customized training.**

The Governor's vision for workforce development does not deal specifically with OJT and customized training. The Governor's vision does relate to having demand-driven training, with OJT and customized training as two of the options for training.

- ii. Describe how the state:**

- Identifies OJT and customized training opportunities;**
 - The State does not identify OJT and customized training opportunities – local areas do.

- **Markets OJT and customized training as an incentive to untapped employer pools including new business to the state, employer groups;**
 - Local areas market their training programs. One local area has a Director of Marketing on staff.
- **Partners with high-growth, high-demand industries and economically vital industries to develop potential OJT and customized training strategies;**
 - The State does not partner to develop these two training options. Local areas would be the ones to do this.
- **Taps business partners to help drive the demand-driven strategy through joint planning, competency and curriculum development; and determining appropriate lengths of training, and;**
 - These are local activities and strategies.
- **Leverages other resources through education, economic development and industry associations to support OJT and customized training ventures.**
 - These are local area activities and strategies.

4. Service to Specific Populations (section 112(b)(17)(A)(iv))

- a. **Describe the state's strategies to ensure that the full range of employment and training programs and services delivered through the state's one-stop delivery system are accessible to and will meet the needs of dislocated workers, displaced homemakers, low-income individuals such as migrants and seasonal farm workers, women, minorities, individuals training for nontraditional employment, veterans, public assistance recipients and individuals with multiple barriers to employment (including older individuals, people with limited English-speaking proficiency, and people with disabilities).**

The State has developed the Focused Industry Training (FIT) program, especially tailored to assist anyone who is unemployed or underemployed acquire the skills to facilitate their getting back in the workforce. The (FIT) program helps an individual to upgrade his or her employability by providing adult education, interviewing skills, lean manufacturing, basic manufacturing, and other in-demand skills. The program delivers intensified work readiness

skills which better enable FIT program completers to meet employers' entry-level job requirements. Many manufacturing entities provide their employees training in skills specific to their jobs. The FIT program helps provide future workers the basic learning skills which support their ready acquisition of these supplemental skills vital to the successful execution of their new job responsibilities.

Companies frequently are looking for candidates with basic workplace skills and solid foundation in workplace behaviors. The State's role, through applicable policy guidance and monitoring reviews, is to ensure that local areas and their Career Centers are fulfilling their role in providing access to this training to all whose assessments indicate this training could be beneficial in achievement of their individual career objectives.

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Wagner-Peyser employment services are accessible through Career Center offices, and electronically through AJL, to U.S. citizens or aliens certified to work in the United States. These services are also available to individuals with barriers to employment. Those persons assessed not to be job ready are referred to partner of supporting agencies for needed services.

- b. Describe the reemployment services you will provide to unemployment insurance claimants and the Worker Profiling services provided to claimants identified as most likely to exhaust their unemployment insurance benefits in accordance with section 3 (c)(3) of the Wagner-Peyser Act.**

Direct staff-assisted job search assistance and labor market information services are provided at the onset of unemployment in order to support the claimant's efforts to return to suitable employment in the shortest possible time.

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All UI claimants seeking labor exchange assistance are provided core services, as appropriate, to include: assessment, job search planning, provision of labor market information, job development, testing, resume preparation assistance, and selection and referral to available jobs. Priority of service for UI claimants for selection and referral services will continue to be emphasized, as reaffirmed in DIR Memorandum No. 1157, Supplement No. 5, Employment Service Application-Taking Policy.

Job Search Workshops will be available to all UI claimants through Career Centers or affiliated locations. This intensive, staff-assisted service focuses on job search, application completion, resume preparation, and interviewing skills. "Orientation" to the Career Center Resource Room will be an integral part of every workshop. These resource rooms contain a variety of self-help print, video, and electronic career guidance tools and materials to assist job

seekers in conducting their own self-directed job search. All Career Centers provide access to the Internet, AJL, and free e-mail.

Wagner-Peyser staff, operating through the Career Center system, is the primary service provider for Worker Profiling Reemployment Services (WPRS), and will provide services to those claimants identified according to profile data as the most likely to exhaust their Unemployment Insurance benefits. All Career Centers will have access to the profiled claimants in order to assist these individuals in their return to work.

Profiled UI claimants are provided services on a timely basis. Individualized, strategic plans for their return to the workforce are developed early on. The individualized service plan is designed to accommodate each profiled claimant's situation, including barriers, and indicates various strategic steps in their Job Search activities. Orientation, assessment, counseling, testing, and job search activities are scheduled as needed and as identified in the service plan. Referral to intensive and training services will be accomplished as indicated in the plan.

Feedback is provided through the Reemployment Services System (RES), an automated on-line system which reports and tracks needed services and outcomes related to those services. The UI automation program, in order to denote individuals' progress, as well as to provide reports and data for analysis, monitors this program. A customer satisfaction evaluation system is in place to determine the effectiveness of the delivery system in meeting the needs and expectations of customers. The survey instrument is provided to every claimant.

c. Describe how the state administers the unemployment insurance work test and how feedback requirements (under section 7(a)(3)(F) of the Wagner-Peyser Act) for all UI claimants are met.

While the primary role of Wagner-Peyser is to provide an integrated labor exchange, it has a responsibility to assist in maintaining the integrity of the entire Employment Security System. Employment Service administers the work test for the State Unemployment Compensation System (W-P 7(a)(3)(F)), providing job finding and placement services for Unemployment Insurance (UI) claimants. The work test involves assessing the claimant's availability and efforts to search for work. The results of the work test are reported to the appropriate Unemployment Insurance authority.

Agency instructions have been issued by both the Employment Service and the Unemployment Compensation Division of DIR, detailing procedures established to (1) maintain linkages between the two agencies in order to ensure maximum exposure to all employment service activities for the

Unemployment Insurance claimant, and (2) to report information bearing on the claimant's eligibility determination, to the unemployment compensation agency.

Individuals filing claims have a co-registration generated in Alabama Job Link. Claimants are encouraged to review and update their registration/resume information on-line, and to visit a Career Center for additional assistance.

Wagner-Peyser funded staff do not participate directly in the conduct of the Eligibility Review Program. However, Wagner-Peyser staff do participate in the follow-up process to ensure that UI eligibility issues are resolved in accordance with Section 5(b)(2) of the Wagner-Peyser Act. This is accomplished through the coordination of employment services with the provision of unemployment insurance claimant services.

- d. Describe the state's strategy for integrating and aligning services to dislocated workers provided through the WIA rapid response, WIA dislocated worker, and Trade Adjustment Assistance (TAA) program. Does the state have a policy supporting co-enrollment for WIA and TAA?**

Alabama's State Dislocated Worker Unit (DWU) and Rapid Response Team Section is organizationally situated within Alabama's Office of Workforce Development (OWD), which is responsible for the day to day planning, administration and oversight of dislocated worker program activities. The OWD has entered into an agreement with the Employment Service and Unemployment Compensation Divisions of the Alabama Department of Industrial Relations (DIR) to provide coordination and support of Rapid Response and Trade Adjustment Assistance functions statewide. Information relative to dislocation events (i.e. plant closings/mass layoffs) and Trade Adjustment Assistance petition filings are shared between the OWD and DIR on a daily basis via e-mail, periodic activity reports and telephone communications.

Written policy instructions specifically addressing coordination of the above-referenced activities are contained in Governor's Workforce Development Directives (PY 2000-32 Subject: Worker Adjustment and Retraining Notification (WARN) Act and Reporting of Actual or Potential Employee Layoff Activity) and PY 2002-13 (Alabama Career Center System and Rapid Response Responsibilities relative to the Trade Adjustment Assistance Reform Act of 2002). Directive PY 2002-13 specifically addresses co-enrollment for WIA and TAA.

The Employment Service, through the One-Stop System, participates in efforts to serve dislocated workers, offering a wide variety of services, to include the following: employability development services, referral to

training, and/or referral and placement activities. Additionally, resources are leveraged through provision of Job Search Workshops for Dislocated Workers under Rapid Response and/or TAA.

DIR is designated with responsibility for processing the Trade Adjustment Assistance (TAA) programs. Because of the requirement of rapid and early intervention in providing the opportunity for workers to be enrolled in training, ES will cooperate with the Unemployment Compensation Division, which has been designated by the Department Director as the entity responsible for petition processing.

The Employment Service, as a One-Stop partner, also recruits, certifies job readiness, develops work/training plans, and/or refers Dislocated Workers to other partner agencies for intensive services, classroom training and individual referral slots. Other basic services, such as application taking, assessment, counseling, testing, selection and referral to available jobs, are also provided to Dislocated Workers, as resources permit.

- e. How is the state's workforce investment system working collaboratively with business and industry and the education community to develop strategies to overcome barriers to skill achievement and employment experienced by the populations listed in paragraph (a.) above and to ensure they are being identified as a critical pipeline of workers?**

Item 4.(a). above describes a specific program to address those groups. We recognize that it is critical to get all who can and will participate in the work force to do so. The FIT program can provide assistance in doing just that to those who will make the effort.

Both Secondary and Postsecondary education agencies, as well as business and industry principals, are represented on the Workforce Planning Council.

- f. How will the state ensure that the full array of one-stop services are available to individuals with disabilities and that the services are fully accessible?**

The State's Department of Rehabilitation Services is a partner in all of the State's Comprehensive Career Centers. Rehab staff assist the other partners to ensure that all Career Center programs and services are accessible. The State, through periodic monitoring, ensures that full accessibility is maintained.

Speaking specifically of those with limited English-language proficiency, Career Centers have identified those staff who have fluency in languages other than English to serve as interpreters where needed. Some areas with growing Hispanic populations have hired Spanish-speaking staff. In other areas, Career Centers have identified interpreters to call upon as needed. Forms and

marketing information have been translated into Spanish to assist with those with limited English proficiency.

Persons with disabilities will be provided basic core services under the Wagner-Peyser Act along with more intensive services where indicated. Referral to training under WIA or Rehabilitation Services will also be accomplished where appropriate. Resource rooms are provided with touch screen computers and voice recognition software for the visual and hearing impaired.

In each Career Center with Wagner-Peyser staff there will be at least one person designated whose duties shall include functional responsibilities for services to persons with disabilities, as prescribed in Section 8(b) of the Act. The goal for Wagner-Peyser staff in Career Centers is for each disabled person to experience the same type of service and equipment anywhere they may go in the state.

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5/1/07*

Resource rooms are provided with touch screen computers and voice recognition software to better accommodate the visually and hearing impaired. Additionally, occupational information is available to customers with visual disabilities through the employment statistics system. The Job Seeker Module of ACLMIS includes a mode for the visually impaired. This mode provides narration when used in conjunction with JAWS screen reader software. Also, open-captioned videos on the labor market information website, and on CD by request only. These career videos provide information on over 550 occupations, including general information on wages, education, expected demand, and working conditions. The newest resource, the Alabama LMI Tutorial, also includes a mode for the visually impaired when used in conjunction with JAWS screen reader software. Customer needs will be addressed as they arise and as new materials are developed.

- g. Describe the role LVER/DVOP staff have in the one-stop delivery system. How will the state ensure adherence to the legislative requirements for veterans' staff? How will services under this plan take into consideration the agreement reached between the Secretary and the state regarding veterans' employment programs? (sections 112(b)(7), 112(b)(17)(B), 38 U.S.C. Chapter 41, and 20 CFR section 1001.120).**

Disabled Veterans Outreach Program (DVOP) and Local Veterans Employment Representative (LVER) staff will provide services to eligible veterans, as mandated under Title 38 U.S.C., Chapter 41, and in accordance with the general and special provisions of the Jobs For Veterans (JFV) State Grant, and other regulations, policies, and directive guidance for JFV grants from the Assistant Secretary, Veterans Employment and Training (ASVET), including Veterans Program Letter (VPL) No. 09-03 and VPL 11-02, or the most current issuance applicable to DVOP-LVER Roles and Responsibilities.

DVOPs will provide eligible veterans with intensive services on a needs-basis, with maximum emphasis on economically and educationally disadvantaged veterans, and veterans in other categories of concern as determined by the ASVET, with the provision of services in the following priority:

- (1) Special disabled veterans
- (2) Other disabled veterans
- (3) Other eligible veterans in accordance with priorities established by the ASVET, taking into account applicable rates of unemployment and other emphasis mandated by Title 38 U.S.C., Chapter 42.

LVERs will integrate services to veterans and eligible persons with other Alabama Career Center (One-Stop) network providers to promote veterans as a category of job-seekers who have highly marketable skills and experience, and advocate, on behalf of veterans, for employment and training opportunities with business, industry, and community-based organizations.

On at least a quarterly basis, Employment Service managers located in Alabama Career Center base offices will assess, as part of the Managers Quarterly Report on Services to Veterans, the level of utilization and effectiveness of services and programs offered to veterans by other providers in the network, and submit a report in the format required by the ASVET to address compliance with the law, adherence to requirements of the JFV grant and applicable directives. Reporting will include the results of self evaluation and a description of any corrective planning taken to resolve deficiencies or improve performance, effectiveness and accountability. JFV grant reporting by the State will affirm that services provided to veterans are consistent with the ASVET agreement.

- h. Department of Labor regulations at 29 CFR 97.37 require all recipients of federal financial assistance from DOL to provide meaningful access to limited English proficient (LEP) persons. Federal financial assistance includes grants, training, equipment usage, donations of surplus property, and other assistance. Sub-recipients are also covered when Federal DOL funds are passed through from one recipient to a sub-recipient. Describe how the state will ensure access to services through the state's one-stop delivery system by persons with limited English proficiency and how the state will meet the requirements of ETA Training and Employment Guidance Letter (TEGL) 26-02, (May 29, 2003) which provides guidance on methods of complying with the federal rule.**

Career Center offices prominently display required posters in both English and Spanish. Additionally, local office managers also identify individuals available, both staff as well as community resources, if assistance is needed in providing services to limited English-speaking individuals. Written procedures have been distributed to staff.

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The Labor Market Information Division works to adapt its resources to accommodate the needs of customers with limited English language proficiency. The Alabama Comprehensive Labor Market Information System (ACLMIS) information postings are available for download through the Labor Market Information Division website in both English and Spanish versions. The Alabama LMI Tutorial has also been updated to include a Spanish version.

- i. **Describe the state's strategies to enhance and integrate service delivery through the one-stop delivery system for migrant and seasonal farm workers and agricultural employers. How will the state ensure that migrant and seasonal farm workers have equal access to employment opportunities through the state's one-stop delivery system? Include the following:**
 - **The number of Migrant and Seasonal Farm Workers (MSFWs) the state anticipates reaching annually through outreach to increase their ability to access core, intensive, and training services in the one-stop career center system.**

All Career Center services, such as job search assistance, testing, referral, training and assessment services are made available to migrant seasonal farm workers (MSFW) equitably through the Career Center System. The Employment Service Outreach assists in providing timely information to other Partner Agencies, and workforce investment boards, about special employment, training, economic, and educational needs of MSFWs and their families. It is anticipated that an estimated 200 MSFWs will be reached annually through this outreach program. Outreach Workers' activity will interface with the WIA 402/WIA § 167 grantee activity to assure all resources and assistance available to MSFWs and their families is accessible.

Outreach services to MSFWs will comply with Federal Regulations at 20 CFR 653.107 to contact those workers traditionally not reached by the usual local office intake activities. Each local office will identify MSFWs service needs and contact individuals and applicant groups to offer and provide services to those not reached usually by local office intake activities. Local office staff conduct pre-seasonal surveys with leads provided by the State Office to determine anticipated MSFW population in local office areas on a month-to-month basis. Intensive efforts are made to contact all MSFWs

whose usual residence is in the local office area and those that migrate into the area that do not contact local offices, branch offices or itinerant points for service. MSFWs will be informed of their rights to full ES services and invited to the One-Stop Office for completion of work applications in accordance with ES/MSFW regulations. Services including job referral, job development, testing, as well as referral to other service agencies will be provided. Appropriate media publicity is directed to MSFWs, informing them of their rights under various Federal and State laws, as well as directives of service agencies in the community. Handouts will be given to each person contacted advising them of this information.

Bilingual regular and outreach staff are assigned to offices where substantial proportions of MSFWs are primarily fluent and/or literate in Spanish, but not in English. Recruitment of staff from persons with MSFW backgrounds will be conducted specifically among home-based Alabama migrants.

5. Priority of Service

- a. **What procedures and criteria are in place under 20 CFR 663.600 for the governor and appropriate local boards to direct one-stop operators to give priority of service to public assistance recipients and other low-income individuals for intensive and training services if funds allocated to a local area for adult employment and training activities are determined to be limited? (sections 112(b)(17)(A)(iv) and 134(d)(4)(E))**

The State Workforce Investment Board established the policy that public assistance recipients and other individuals with low incomes would receive the highest priority for WIA services.

- b. **What policies and strategies does the state have in place to ensure that, pursuant to the Jobs for Veterans Act (P.L. 107-288)(38 USC 4215), priority of service is provided to veterans (and certain spouses) who otherwise meet the eligibility requirements for all employment and training programs funded by the U.S. Department of Labor, in accordance with the provisions of TEGL 5-03 (9/16/03).**

The State issued policy directives in November of 2003 and in February of 2004 to communicate veterans' priority in any workforce preparation, development, or delivery program or service that is directly funded, in whole or in part, by the U.S. Department of Labor. State policy provides that veterans meeting the statutory program eligibility requirements will receive preference over other eligible program applicants.

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LVER-DVOP staff will assist other providers in the network to offer priority services to veterans and others eligible for priority under the law, with

emphasis to veterans most in need of employment and supportive services, particularly veterans economically or educationally disadvantaged, homeless veterans, and veterans in vocational rehabilitation or occupational training. Services to veterans and program functions of LVER and DVOP staff to veterans will be integrated into the delivery of services within the statewide network of Alabama Career Centers and other locations where mediated labor exchange services are provided, so as to offer such veterans and eligible persons the maximum advantages of a full array of employment services and training opportunities, with priority given to the needs of disabled veterans, and other veterans designated by the ASVET, through existing programs, coordination, and merger of programs and implementing new programs under the Workforce Investment Act (WIA), to ensure that veterans are provided universally in access and empowered with customer choice and customized access to those services which satisfy their individual needs for career development. In the provision of these services veterans' priority will be followed in accordance with 38 U.S.C., Chapters 41 and 20 C.F.R. 1001.100 et seq. and the provisions of the DVOP and LVER grants. The LVER and DVOP program will facilitate veteran access to all WIA employment and training programs, as required by Section 112 (b)(17)(B) of the Workforce Investment Act of 1998.

Assignment of LVERs and DVOPs will be in consultation with the State Director, Veterans Employment and Training Service (VETS), taking into consideration the needs of veterans, and particularly veterans in categories established by law or the grant to receive greater emphasis and priority in services.

Ensuring that service providers and their staff work together, LVER and DVOP will participate in cross-awareness training with WIA and other service providers in the network, and assist other service providers to assess at the point of entry, to identify and recruit veterans and certain spouses of veterans in need of their services and programs, and meet the priority provisions of the Jobs for Veterans Act (Public Law 107-288) for all training programs funded by the U.S. Department of Labor, including the WIA, Adult and Dislocated Worker formula-funded program, Wagner-Peyser Employment Services, the Trade Act programs, National Emergency Grant (NEG) Job Corps, Labor Market Information Formula Grants, Pilots, Research and Development, Career One-Stop Electronic Tools or other Internet-based self-service tools, and other programs mandated by 38 U.S.C § 4215, as described in directive guidance from the U.S. Department of Labor, such as Training and Employment Guidance Letter No. 5-03, No. 22-04 regarding Serving Military Service Members and Military Spouses Under the WIA Dislocated Worker Formula, or other applicable guidance.

D. Rapid Response. (112(b)(17)(A)(ii) Describe how your state provides Rapid Response services with the funds reserved under section 133A(a)(2).

- 1. Identify the entity responsible for providing Rapid Response services. Describe how Rapid Response activities involve local boards and chief elected officials. If Rapid Response activities are shared between the state and local areas, describe the functions of each and how funds are allocated to the local areas.**

The Office of Workforce Development is designated by the Governor as the entity responsible for providing Rapid Response services in Alabama. Local boards and chief elected officials are provided with periodic up-dates of activities of the Statewide Rapid Response Section. Continuous access to reports which can be customized by industry, geographic area, time frames, etc., are maintained in an ACCESS database, part of which is accessible via the Internet.

Local area staff are involved from initial notification of a layoff through the various meetings with employers and employees and the provision of all services to the laid-off workers. It is a full partnership arrangement.

- 2. Describe the process involved in carrying out Rapid Response activities.**

- a. What methods are involved in receiving notice of impending layoffs (include WARN Act notice as well as other sources)?**

The WARN Act, P. L. 100-379, stipulates that the State Dislocated Worker Unit (DWU) is one of three (3) parties or groups designated to receive notifications. Also, Alabama's State DWU is routinely alerted to impending area plant closures/layoffs by Local Workforce Investment Area (LWIA) staff, Employment Service and Unemployment Compensation Division personnel, regional economic development officials, local Career Centers, and other State agencies. Alabama's DWU also has an established 24-hour toll free number available to these agencies as well as employers and employees to alert them of any potential worker dislocations. Dislocated workers seeking additional information about services, training, etc., may also use this toll-free number.

- b. What efforts does the Rapid Response team make to ensure that rapid response services are provided, whenever possible, prior to layoff date, onsite at the company, and on company time?**

Alabama's Rapid Response Team staff strives to make same day contact with company management and/or union officials, arranging on-site meetings within 24 hours of receipt of official WARN notifications. Rapid Response

Team staff immediately make contact with management and/or union officials whenever notified of a potential dislocation event, whether an official WARN notice has been received or not, to ensure awareness of WARN Act provisions and to provide information about assistance available through the Alabama DWU and Rapid Response Team. Every employer and/or union contact is encouraged to provide training/meeting space on-site as much in advance of layoff date(s) as possible. Also, company contribution of meeting space with employee participation on paid company time as a means to encourage and facilitate participation is strongly encouraged. Experience has been that management and/or union officials rarely fail to provide this type of support.

- c. **What services are included in Rapid Response activities? Does the Rapid Response team provide workshops or other activities in addition to general informational services to affected workers? How do you determine what services will be provided for a particular layoff (including layoffs that may be trade-affected)?**

Alabama's Rapid Response Team works with LWIAs and local Career Center System staff to coordinate their activities with both employers and labor organizations. They determine jointly the scope of dislocated worker assistance need and how, depending on services available in the LWIA, to serve dislocated workers. Funding reserved by the State from the Dislocated Worker account may be made available where necessary. Depending on the extent and scope of a dislocation event, the OWD may request discretionary funding from the Department of Labor.

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5/1/07*

Rapid Response Team staff conducts a detailed assessment, including a survey to be completed by each dislocated worker, of the needs specific to each dislocation event and coordinate with "Dislocated Worker Service Agency Network Agencies" to market available buildings, establish labor/management committees, provide job search workshops, money management seminars, GED preparation, etc., depending on individual circumstances.

3. **How does the State ensure a seamless transition between Rapid Response services and one-stop activities for affected workers?**

Rapid Response Team staff communicates detailed information concerning reported or potential dislocation events to local Career Center staff on a daily basis via e-mail and/or telephone communications. Local WIA and associated Career Center staff are included in e-mail notifications of dislocation event notifications received by the DWU and/or activities of the Rapid Response Team relative to their geographical area. Career Center staff are included as primary participants in all Rapid Response general information sessions or Group Employee Meetings.

- 4. Describe how Rapid Response functions as a business service. Include whether Rapid Response partners with economic development agencies to connect employees from companies undergoing layoffs to similar companies that are growing and need skilled workers. How does Rapid Response promote the full range of services available to help companies in all stages of the economic cycle, not just those available during layoffs? How does the state promote Rapid Response as a positive, proactive, business-friendly service, not only a negative, reactive service?**

Rapid Response Team staff brief employers on the availability of On-The-Job-Training, Incumbent Worker Training, and various services available at local Career Centers, including labor market information, wage data, etc. Rapid Response coordinates with the Alabama Development Office (state economic development agency) and local Industrial Development Boards, facilitating their intervention where possibilities to avert layoffs or plant closings exists. The OWD also provides and regularly promotes information available on their Internet web sites promoting benefits of Rapid Response assistance and providing information about dislocation event activity in the State.

- 5. What other partnerships does Rapid Response engage in to expand the range and quality of services available to companies and affected workers and to develop an effective early layoff warning network?**

Rapid Response Team staff have established an informal “Dislocated Worker Service Agency Network” including a broad range of agencies providing services that could be of benefit to employers and dislocated workers. Formal contractual agreements are in place with Employment Service and Unemployment Compensation Divisions of the Alabama DIR as well as the AFL-CIO’s Labor Institute for Training Project (L.I.F.T.). Rapid Response Team staff communicate with and maintain close working relationships with State and local level officials of Postsecondary Education (including Adult Education/GED Preparation Programs), the Department of Human Resources, Alabama Cooperative Extension Service, Community Action Agencies, Public Health, Mental Health and Retardation, Department of Rehabilitation Services, Department of Senior Services, Legal Services Corporation, Consumer Credit Counseling Service, Department of Veterans Affairs, Alabama Medicaid, Children’s Health Insurance Programs (CHIP or All-Kids in Alabama), the Alabama Child Caring Program for Children, the Department of Labor’s Employee Benefits Security Administration and other Federal, State and local entities as appropriate to individual circumstances of each dislocation event.

- 6. What systems does the Rapid Response team use to track its activities? Does the state have a comprehensive, integrated management information system that includes Rapid Response, Trade Act programs, National Emergency Grants, and one-stop activities?**

Rapid Response Team staff maintain a detailed ACCESS database of information related to every dislocation event where services are provided. Selected information is drawn from this database and is available via the Internet for public consumption at <http://216.226.178.187/wdd/alabamawarnlist.asp>. Customized reports can be generated for LWIAs, elected officials, economic development professionals, etc., by industry, geographical area, time frames, etc. Rapid Response Team staff routinely receive Trade Act petition filing and certification notices from the U.S. DOL and State Department of Industrial Relations. Whenever Trade Act petitions have been filed by companies who have not come to the attention of the State DWU and Rapid Response Team otherwise, they are investigated to determine what level of Rapid Response assistance may be necessary and appropriate.

7. Are Rapid Response funds used for other activities not described above, e.g., the provision of additional assistance to local areas that experience increased workers or unemployed individuals due to dislocation events?

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Additional funding has been provided to local areas based on need justification. Further, the State has been granted a regulatory waiver which allows the expenditure of up to fifty percent of Rapid Response funds for Other Statewide Activities, to include Incumbent Worker Training Programs.

E. Youth. ETA's strategic vision identifies youth most in need, such as out of school youth and those at risk, youth in foster care, youth aging out of foster care, youth offenders, children of incarcerated parents, homeless youth, and migrant and seasonal farm worker youth as those most in need of service. State programs and services should take a comprehensive approach to serving these youth, including basic skills remediation, helping youth stay in or return to school, employment, internships, help with attaining a high school diploma or GED, Postsecondary vocational training, apprenticeship and enrollment in community and four-year colleges (section 112(b)(18)).

A lack of program focus and emphasis on outcomes has left Alabama's out-of school at-risk youth behind our state economy. Alabama's strategy for out-of-school youth is to develop well-designed and coordinated programs that offer youth who become disconnected from mainstream institutions and systems additional opportunities to successfully transition to adult roles and responsibilities.

In response to the shared vision for Youth, Postsecondary Education, Secondary Education, DHR, TANF, DRS, Rehab, the Department of Youth Services, OWD, and ADECA have developed a new youth vision that establishes strategies that are both agency specific and explicit in the need for a collaborative Federal/State partnership to more efficiently and effectively serve our State's neediest youth.

- 1. Describe your state's strategy for providing comprehensive, integrated services to eligible youth, including those most in need as described above. Include any state requirements and activities to assist youth who have special needs or barriers to employment, including those who are pregnant, parenting, or have disabilities. Include how the state will coordinate across state agencies responsible for workforce investment, foster care, education, human services, juvenile justice, and other relevant resources as part of the strategy. (section 112(b)(18))**

Alabama's strategy for providing comprehensive integrated, interagency services to eligible youth involves a detailed assessment of all local, state, and federal resource systems available, including coordination with the Alabama Department of Human Resources' Foster Care system, Alabama's Youth Services Department, secondary/postsecondary education programs, welfare-to-work programs, migrant and seasonal farm workers, students with disabilities, and the State's two Job Corps Centers (Montgomery and Gadsden). The centerpiece of this performance-coordination of services will be the Alabama Career Center System.

Alabama's three workforce investment areas have compiled an impressive list of available services for eligible youth. These coordinated services will enable all youth, particularly out-of-school youth, dropouts, and youth (pregnant, parenting, or have disabilities) with special needs or barriers to employment to acquire the skills and work-based experiences necessary to successfully transition into adulthood, careers and further education and training.

The Alabama Youth Development System may be characterized as youth friendly and cost efficient. There is a sense of urgency about correcting problems, capitalizing on new youth initiative opportunities, and developing caring leaders in our State. The system created using Full Collaboration Model (See Attachment 11) will influence the labor force emerging from the State's secondary and postsecondary schools, and the out-of-school youth and dropouts, welfare recipients, disabled, pregnant teens, and unemployed youth with the services and activities needed to enter the Alabama workforce at a living wage.

- 2. Describe how coordination with Job Corps and other youth programs will occur. (112(b)(18)(C))**

Alabama's two Job Corps Centers (Montgomery and Gadsden) are a viable part of the State's Youth Development System. In order to continue this collaborative partnership, the state and local agency workforce development staff participate in various local Job Corps councils, i.e. Job Corps Center Community Relations Councils, Center Industry Councils, etc., and the Job Corps Consortium that meets quarterly to discuss policy, strategies and methods of serving the State's neediest youth. In addition, the State's Workforce Investment Council and the Governor's Workforce Development Council have formed a Youth

Council/Youth Workforce Task Force with members of Job Corps and other youth program staff to communicate the youth shared vision and commitment to collaborate strategic planning activities to develop cross-agency systems to better serve the neediest youth through improved leveraging of resources, policy alignment and other activities.

3. How does the state plan to utilize the funds reserved for statewide activities to support the state's vision for serving youth? Examples of activities that would be appropriate investments of these funds include:

No special allocation of WIA 15 Percent Statewide Activity funds is made to local areas for youth in the One Stops. The State does pay its share of costs through a cost allocation, which ensures costs for youth services at the One-Stops are paid by the benefiting fund source such as WIA 15 percent Adult, Dislocated Workers, etc. Two local areas do have nominal costs associated with State-level youth program participants, which are covered by these two local areas out of formula (program) funds. The State uses some of the 15 percent funds for youth program technical assistance and training for career center staff capacity building. The State also funds the WIA management information system to include State staff who manage the system including youth data. There's also an interagency computer system (funded by the State), which allows various partner agencies to share youth data on individuals seeking human resource services.

a. Utilizing the funds to promote cross-agency collaboration;

Reference Section IX. E. 3. narrative.

b. Demonstration of cross-cutting models of service delivery;

Reference Section IX. E. 3. narrative.

c. Development of new models of alternative education leading to employment; or

Reference Section IX. E. 3. narrative.

- d. Development of demand-driven models with business and industry working collaboratively with the workforce investment system and education partners to develop strategies for bringing these youth successfully into the workforce pipeline with the right skills.**

Reference Section IX. E. 3. narrative.

- e. Describe how your state will, in general, meet the Act's provisions regarding youth program design. (sections 112(b)(18) and 129(c))**

Reference Section IX. E. 3. narrative.

F. Business Services. (sections 112(b)(2) Provide a description of the state's strategies to improve the services to employers, including a description of how the state intends to:

1. Determine the employer needs in the local areas and on a statewide basis.

Grass roots micro-information obtained directly from businesses may serve as an early indicator of shifts in current employer "demand." Such linkages often provide direct insight into workings of the state's business community. Another measure of the pulse of business demand is through employer advisory groups, such as the Alabama State Employers Committee (ASEC). This diverse group of business leaders from throughout the state voluntarily serves in an advisory capacity, making recommendations to improve workforce and employment services.

2. Integrate business services, including Wagner-Peyser Act services, to employers through the One-Stop system.

Limited awareness of the full range of business services available through the One-Stop Career Center System often constrains the full use of these services by the business community. Efforts are ongoing to help raise employer awareness of the many Career Center System services available to help meet employer needs.

3. Streamline administration of federal tax credit programs within the one-stop system to maximize employer participation? (20 CFR part 652.3(b))

Several strategies have been implemented within the Career Center system to maximize employer participation in the Federal tax credit programs. Local Career Center staff are trained to more effectively market the several utilities of the tax credit system to employers. Other effective strategies to school employers in the better use of tax credits are through presentations to chambers of commerce, the Alabama State Employers Committee, employer seminars, forums and to professional organizations, such as Society of Human Resources Managers

(SHRM). Centralization has helped streamline the tax credit program verification process. Trained analysts process employer requests through a centralized electronic on-line network.

G. Innovative Service Delivery Strategies (section 112(b)(17)(A))

- 1. Describe innovative service delivery strategies the state has or is planning to undertake to maximize resources, increase service levels, improve service quality, achieve better integration or meet other key state goals. Include in the description the initiative's general design, anticipated outcomes, partners involved and funds leveraged (e.g., Title I formula, statewide reserve, employer contributions, education funds, non-WIA state funds).**

The Career Center Strategic Planning Committee has attempted to minimize Career Center System waste and duplication, allowing more funds to be focused on service to customers. All Workforce Development Career Center partners are involved.

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5/1/07*

The delivery of Wagner-Peyser labor exchange services was transformed dramatically in PY 2005 with implementation of an Internet web-based demand driven labor exchange system (Alabama Job Link), offering both job seekers and employers 24/7 self-service. This innovation broadened public access to labor exchange services, facilitating self-registration, job search, and, in many cases, self referral to job vacancies. Employers may individually manage their own accounts, including posting of job openings and the employee referral/selection process.

This innovative strategy for labor exchange services delivery has the unique capability to accommodate the increasing demand for labor exchange services from both job seekers and employers alike. The shift in labor exchange delivery to a self service option greatly leverages available resources, allowing a reduced staff to better focus their attention on those who truly require assistance. As a result, the quality of labor exchange services overall is improved.

*Modified,
5/1/07*

The paradigm shift to self-service promises better integration of Career Center services by allowing the reallocation of limited staff to the Employer Relations Program, which is the "marketing arm" for the Career Center employer services.

- 2. If your state is participating in the ETA Personal Re-employment Account (PRA) demonstration, describe your vision for integrating PRAs as a service delivery alternative as part of the state's overall strategy for workforce investment.**

Alabama is not participating in the PRA demonstration.

H. Strategies for Faith-Based and Community Organizations (section 112(b)(17)(i)). Enhancing outreach opportunities to those most in need is a fundamental element of the demand-driven systems goal to increase the pipeline of needed workers while meeting the training and employment needs of those most at risk. Faith-Based and community organizations provide unique opportunities for the workforce investment system to access this pool of workers and meet the needs of business and industry. Describe those activities to be undertaken to: (1) increase the opportunities for participation of Faith-Based and community organizations as committed and active partners in the one-stop delivery system; and (2) expand the access of Faith-Based and community-based organizations' clients and customers to the services offered by the one-stops in the state. Outline those action steps designed to strengthen state collaboration efforts with local workforce investment areas in conducting outreach campaigns to educate Faith-Based and community organizations about the attributes and objectives of the demand-driven workforce investment system. Indicate how these resources can be strategically and effectively leveraged in the state's workforce investment areas to help meet the objectives of the Workforce Investment Act.

Alabama enjoys a rich diversity of faith-based, community, and other private charitable organizations that render effective aid to people in need. The State of Alabama has one of the largest and most effective populations of Faith-Based and Community Organizations in the United States. On June 22, 2004, Governor Bob Riley, through Executive Order Number 21, established the Governor's Office of Faith-Based and Community Initiatives (GFBCI), charged with making changes necessary to actively engage in collaborative efforts with Faith-Based and Community Organizations for the provision of social services to people in need.

The Alabama Office of Workforce Development (OWD) will cooperate fully with GFBCI and the Advisory Board on Faith-Based and Community Initiatives to increase and expand access to opportunities for participation of faith-based and community organizations as committed and active partners in the Alabama Career Center System (ACCS). OWD will undertake the following activities to accomplish this effort:

- Assist in identifying unmet service needs and conditions of unemployed or underemployed workers that the faith-based Initiative (Initiative) will organize Faith-Based/Community-Based Organizations (FBCOs) and other partners to address.
- Assist in collaboration between FBCOs and workforce boards to address a well-defined unmet community need by leveraging the resources of both faith-based and community organizations and the Alabama Career Center System.

- Work with the GFBCI to establish plans for outreach to FBCOs. Note: The emphasis will be on outreach to those groups that can help the FBCOs address the identified community need(s) in relation to Workforce Development.
- Assist in organizing FBCOs to address the community's needs in relation to workforce development including what resources and services it will solicit from federal, state and other sources.
- Assist in activities to build the administrative capacity of the FBCOs in relation to workforce development.
- Work with the GFBCI and FBCOs to coordinate activities/services with the ACCS and with the state and local workforce investment boards to address the identified community issues.
- Work with the GFBCI to improve the posture of FBCOs in increasing their administrative capacity to remain active in local workforce development efforts.
- Assist in increasing the number of FBCOs serving as committed and active partners in the ACCS delivery system.
- Assist in expanding the access of faith-based and community-based organizations' clients and customers to the training, job and career services offered by the local career center.

Action steps will be designed to strengthen the State's collaboration efforts with local workforce investment areas in conducting outreach campaigns to educate faith-based and community organizations about the attributes and objectives of partnering with Alabama's OWD. OWD will fully cooperate with GFBCI's following initiatives:

- This office envisions an environment where community-based and faith-based organizations can compete equally with other groups to provide government- or privately-funded services.
- Will serve to strengthen and expand the role of faith-based and community organizations in addressing Alabama's social problems.
- Identify the work to eliminate improper barriers to the full participation of faith-based and community-serving programs in the provision of social services.

The GFBCI and Alabama's Career Center System resources can be strategically and effectively leveraged in the State's workforce investment areas to help meet the objectives of the Workforce Investment Act by utilizing the following strategies:

- Identify faith-based/community initiative projects relating to workforce development in Alabama state government.
- Assess state barriers within workforce development to faith-based/community initiative organizations in assessing funding.
- Assess funding or other resources within state government as it applies to workforce development.
- Assess funding or other resources within federal government as it applies to workforce development.
- Assess funding or other resources within corporations and foundations as it applies to workforce development.
- Assess funding or other resources within lending institutions as it applies to workforce development.
- Assess available resources within institutions of higher learning as it applies to workforce development.
- Evaluation of effectiveness of training coordination and dissemination of information as it applies to workforce development.

X. State Administration

- A. What technology infrastructure and/or management information systems does the state have in place to support the state and local workforce investment activities such as a one-stop operating system designed to facilitate case management and service delivery across programs, a state job matching system, web-based self service tools for customers, fiscal management systems, etc.? (sections 111(d)(2), 112(b)(1), and 112(b)(8)(B))**

*Modified,
5/1/07*

The WIA partners use a system for WIA that is called the AlaWorks system, which provides management information on participants and budgets/expenditures. Wagner-Peyser utilizes Alabama Job Link as its Labor Exchange system to provide management and public services delivery to both job seekers and employers. These systems can communicate information among themselves through the Interagency Electronic Linkage System, which the State began in 2001. This system was developed with the use of One-Stop Grant funds. All career centers partners are users of the system. It is currently being enhanced to add agencies and programs.

Alabama JobLink (AJL) is a web-enabled One-Stop workforce development system that has provided the next level of systemic transformation in the provision of employment services. AJL provides 24/7 self-service for job seekers and employers

job matching activities, enhanced One-Stop customer services delivery management capabilities, case management, labor exchange job matching, and labor exchange information services. AJL also incorporates a “spidering” feature that affords system users instant access to millions of job worldwide. There are three main components of AJL: **JobLink**, **ServiceLink**, and **Fiscal Link**.

JobLink: - JobLink is a self-service job matching and workplace information service for employers and jobseekers. Jobseekers can establish an Internet account to manage their self-directed job search activities and/or register with the public labor exchange to broaden their job search activities, to include staff-assisted services. Employers can establish an account to manage job orders and to search/view job seeker resumes. Additional assistance in seeking and finding talent may be leveraged through public labor exchange staff assistance.

ServiceLink: - ServiceLink is a web-based Career Center client management application that allows case managers to track their caseload and report information required under Labor Exchange, Re-employment Services, WIA, Welfare to Work, TAA, and other federal programs. ServiceLink provides a standardized process for following participants through the workforce development system network. It eases the load for case managers by providing a tool that can manage and monitor caseloads, assess employment barriers, establish training and employment plans, search for service providers, WIA eligible training providers, and track job placements. ServiceLink collects all information required to generate reports for these federal programs. Some of the reports which may be generated under ServiceLink are Recently Soft Exited and Soft Exit Warning by Office; Job Service Activity Reports by Statewide, WIB and Office; WIA Youth Elements, NEG Project Quarterly Reports and WIA Quarterly Report by Statewide, Local Area, WIB and Office.

FiscalLink: - FiscalLink allows case managers and program administrators the ability to process participant and vendor payments for Workforce training programs.

*Modified,
5/1/07*

Alabama JobLink is available to all Career Center partners to support state and local workforce investment activities, such as a one-stop operational system designed to facilitate case management and service delivery across programs, a state job matching system, web-based self service tools for customers, and fiscal management systems.

B. Describe the state’s plan for use of the funds reserved for statewide activities under WIA section 128 (a)(1).

Funds reserved under this section are for statewide administration of the WIA program, for oversight and monitoring, for maintaining a statewide management information system, capacity building for state, local area, and service provider staff, statewide funding of Individual Training Accounts for Dislocated Workers who have

received services from the State's Rapid Response Team, incentive funds for local areas based upon their meeting/exceeding required performance standards, assessment and case management, eligibility determination (for state level programs), and funds budgeted and used for incumbent worker training programs.

C. Describe how any waivers or workflex authority (both existing and planned) will assist the state in developing its workforce investment system. (sections 189(i)(1), 189(i)(4)(A), and 192)

No workflex authority exists, has been requested or is contemplated at this time.

The State currently has in effect approved waivers to increase the transfer of local adult-dislocated worker fund transfers to 100 percent; to extend the period of WIA service providers initial eligibility; allowing local areas to use up to 10 percent of local annual fund allocations for Statewide Workforce Investment Activities (including Incumbent Worker Training programs); and the restructuring of State Workforce Investment Board member composition requirements consistent with the specifications of H.R. 1261. We have also been granted a waiver of 20 CFR 661.320(d)(2) to allow the transfer of up to fifty percent of Section 133 (a)(2) Rapid Response funds to WIA Statewide activities, i.e., provide additional funding for incumbent workers training. We are requesting an extension of all approved waivers through June 30, 2009, in order to provide the State continued flexibility in responding to varying local conditions. Such flexibility works to render the affected WIA programs more adaptive, and thereby promotes their ability to succeed. (see Attachment 8).

*Modified,
5/1/07*

D. Performance Management and Accountability. Improved performance and accountability for customer-focused results are central features of WIA. To improve, states need not only systems in place to collect data and track performance, but also systems to analyze the information and modify strategies to improve performance. TEGL 15-03, Common Measures Policy, December 10, 2003. In this section, describe how the state measures the success of its strategies in achieving its goals, and how the state uses this data to continuously improve the system.

- 1. Describe the state's performance accountability system, including any state-system measures and the state's performance goals established with local areas. Identify the performance indicators and goals the state has established to track its progress toward meeting its strategic goals and implementing its vision for the workforce investment system. For each of the core indicators, explain how the state worked with local boards to determine the level of the performance goals. Include a discussion of how the levels compare with the state's previous outcomes as well as with the state-adjusted levels of performance established for other states (if available), taking into account differences in economic conditions, the characteristics of**

participants when they entered the program and the services to be provided. Include a description of how the levels will help the state achieve continuous improvement over the two years of the plan. (sections 112(b)(3) and 136(b)(3))

*Modified,
5/1/07*

Effective with Program Year 2005, Wagner-Peyser performance is assessed against the Common Measures policy. Actual program performance data generated along these measures, i.e., Entered Employment Rate (EER), Employment Retention Rate (ERR), and Six Month Earnings will baseline associated performance goal negotiations which will be applied against subsequent Program Years. Continuous improvement will be achieved through analysis for performance as revealed in AJL reporting, this affording opportunity for strategy modifications designed to improve performance and the system.

Alabama's Performance Accountability System

a. Performance Indicators and Goals

(Reference: TEGL Nos. 17-05)

Adult Measures - Definitions

- 1. Entered Employment Rate** - Of those who are not employed at the date of participation: Number of adults who are employed in the 1st quarter after exit, divided by the number of adults who exit during the quarter.
- 2. Employment Retention Rate** - Of those who are employed in the 1st quarter after exit: Number of adults who are employed in both the 2nd and 3rd quarters after exit, divided by the number of adults who exit during the quarter.
- 3. Six Month Earnings** - Of those adult participants who are employed in the 1st, 2nd, and 3rd quarters after the exit quarter: Total earnings in the second quarter plus total earnings in the third quarter after the exit quarter divided by the number of adult participants who exit during the quarter.
- 4. Employment and Credential Rate** - Of those adult participants who received training services: Number of adult participants who were employed in the 1st quarter after exit and received a credential/certificate by the end of the 3rd quarter after exit, divided by the number of adult participants who exit during the quarter.

Dislocated Worker Measures - Definitions

- 1. Entered Employment Rate** - Of those who are not employed at the date of participation: Number of dislocated workers who are employed in the 1st quarter after exit, divided by the number of dislocated workers who exit during the quarter.

2. **Employment Retention Rate** - Of those who are employed in the 1st quarter after exit: Number of dislocated workers who are employed in both the 2nd and 3rd quarters after exit, divided by the number of adults who exit during the quarter.
3. **Six Month Earnings** - Of those adult participants who are employed in the 1st, 2nd, and 3rd quarters after the exit quarter: Total earnings in the second quarter plus total earnings in the third quarter after the exit quarter divided by the number of dislocated worker participants who exit during the quarter.
4. **Employment and Credential Rate** - Of those who received training services: Number of dislocated workers who were employed in the 1st quarter after exit and received a credential/certificate by the end of the 3rd quarter after exit, divided by the number of dislocated workers who exit during the quarter.

Older Youth Measures - Definitions

1. **Entered Employment Rate** - Of those who are not employed at registration and who are not enrolled in postsecondary education or advanced training in the 1st quarter after exit: Number of older youth who have entered employment by the end of the 1st quarter after exit, divided by the number of older youth who exit during the quarter.
2. **Employment Retention Rate** - Of those who are employed in the 1st quarter after exit and who are not enrolled in postsecondary education or advanced training in the 3rd quarter after exit: Total earnings in the 2nd and 3rd quarters after the exit quarter minus total earnings in the 2nd and 3rd quarters prior to participation, divided by number of older youth who exit during the quarter.
3. **Earnings Change in Six Months** - Of those who are employed in the 1st quarter after exit and who are not enrolled in postsecondary education or advanced training in the 3rd quarter after exit: Total earnings in the 2nd and 3rd quarters after the exit quarter minus total earnings in the 2nd and 3rd quarters prior to participation, divided by number of older youth who exit during the quarter.
4. **Credential Rate** - Number of older youth who are either employed, enrolled in postsecondary education, or advanced training in the 1st quarter after the exit quarter and received a credential/certificate by the end of the 3rd quarter after exit, divided by the number of older youth who exit during the quarter.

Younger Youth Measures - Definition

1. **Skill Attainment Rate** - Of all in-school youth and any out-of-school youth assessed to be in need of basic skills, work-readiness, and/or occupational skills: Total number of attained basic skills + number of attained work readiness + number of attained occupational skills, divided by total number of basic skills goals + number of work readiness skills goals + number of occupational skills goal.

2. **Diploma or Equivalency Attainment Rate** - Of those who register with no diploma or equivalent: Number of younger youth who attained a secondary school diploma or equivalent by the end of the 1st quarter after exit, divided by the number of younger youth who exit during the quarter (except those still in secondary school at exit).
3. **Retention Rate** - Number of younger youth found in one of the following categories in the 3rd quarter after exit: postsecondary education, advanced training, employment, military service, qualified apprenticeships; divided by the number of younger youth who exit during the quarter (except those still in secondary school).

Youth (14-21) Common Measures - Definition

1. **Placement in Employment or Education** - Of those who are not in post-secondary education or employment (including the military) at the date of participation: Number of youth participants who are in employment (including the military) or enrolled in post-secondary education and/or advanced training/occupational skills training the 1st quarter after the exit quarter; divided by the number of youth participants who exit during the quarter.
2. **Attainment of a Degree or Certificate** - Of those enrolled in education (at the date of Participation or at any point during the program): Number of youth participants who attain a diploma, GED, or certificate by the end of the 3rd quarter after the exit quarter; divided by the number of youth participants who exit during the quarter.
3. **Literacy/Numeracy Gain** - Of those out-of-school youth who are basic skills deficient; Number of youth participants who increase one or more educational functioning levels; divided by the number of youth who have completed a year in the program plus the number of youth who exit before completing the youth program.

Customer Satisfaction - Definition

1. **Participants** - The weighted average of participant ratings on each of the 3 questions regarding overall satisfaction reported on a 0-100 scale.
2. **Employers** - The weighted average of employer ratings on each of the 3 questions regarding overall satisfaction reported on a 0-100 scale.

b. Performance Management and Accountability System

The Performance Management system described below is available for review and approval by representatives of the State Board and local boards. All Board member comments are duly considered.

1. Customer Satisfaction and State Measures

*Modified,
5/1/07*

Section 133(b)(2)(A), Section 133(b)(2)(B), and Section 128(b)(2) PY 2007 performance goals will be set at a level to be negotiated with the U.S. Department of Labor Regional Office. The baseline for these negotiations will be the PY 2004-PY2006 actual performance along each performance measure (see Attachment 12 – Proposed PY 2007/PY 2008 Performance Goals).

The performance goal measure negotiation process provides an opportunity to demonstrate how local demographic and/or economic conditions potentially affect WIA program performance, and may be taken into consideration in measurement adjustments.

The departure point for (PY 2007) WIA performance goals will be the performance benchmarks negotiated by USDOL and the State. Subsequent year performance goals will be set at levels consistent with importance both the State and USDOL place upon continuous improvement in WIA programs.

By setting First Year (PY 2007) performance goals at a reasonably attainable level, there will be minimal risk of overwhelming staff with mandatory goals that are almost beyond their reach.

2. Employers and Job Seekers Customer Satisfaction Measures

ES customer satisfaction is measured through both applicant/employer formal surveys and informal feedback. State and local Alabama Employer Services Committees (AESC) have proven invaluable in their feedback and recommendations to identify, prioritize, and enhance services locally, regionally, and statewide. This information is provided to local offices as part of the effort to continuously improve services. Local offices also receive customer feedback that assists in determining the quality of services provided and the level of customer satisfaction achieved.

Findings from these customer surveys to identify the perceptions, priorities, and value associated with employment services. These findings are shared, discussed, and analyzed by management and staff to determine customer satisfaction and identify changes needed to produce desired outcomes.

Findings have also provided direction and prioritization in the utilization of the limited resources available.

The State will continue to employ telephone surveys in order to administer USDOL-prescribed employers and participants) customer satisfaction surveys.

Identifying individuals to be included in these surveys, OWD staff will sample from the full population of individuals receiving staff-assisted WIA core, intensive, and/or training services. It is anticipated that “satisfaction” instruments will be applied to all employers using WIA services rather than a sample. This is to ensure inclusion of required number of employers (500). Survey questions will consist of the information prescribed by USDOL and additional State-designed questions regarding specific participant and employer attitudes regarding various aspects of WIA program services. The input of local

boards may be solicited regarding the future additions to or deletions from the customer satisfaction survey instruments. Should local boards require more detailed information than that provided by the USDOL satisfaction questions and the additional State-designed questions, they may submit these recommendations to the OWD. In this manner, local boards may be able to obtain information they feel to be more useful in shaping their respective WIA local service delivery strategies.

OWD staff will regularly compile and consolidate WIA customer satisfaction information. Reports are prepared expressing satisfaction at the state-level and local area. Similar efforts to evaluate individual/employer customer satisfaction may be conducted at the local area career center level. State-level reports will be disseminated to all WIA outlets. Satisfaction reports traceable to the local area-level, and, as available, reports covering each career center within a local area, are distributed throughout each local area.

This satisfaction feedback is particularly valuable in both local area overall program planning and in specific activity management. Non-positive satisfaction survey feedback will trigger efforts by the State and/or local area to identify the root problems or situations underlying this negative feedback, and may suggest short-term or long-term strategic measures aimed at remedying real or perceived flaws in the WIA service delivery system.

The ongoing assessment of customer satisfaction surveys with WIA services will prove invaluable in helping the individual components of the WIA delivery system collectively and consistently achieve the “continuous improvement” central hallmark of WIA.

3. State and Local Boards Performance Evaluation Strategies

Appropriate systems evaluations are conducted at the individual workforce development systems level. Career Center evaluations enhance their effectiveness by sharing best practices among the centers.

*Modified,
5/1/07*

The state defines "meeting a performance goal" as LWIA performance at eighty percent to one hundred percent of the level at which a particular goal is set. "Exceeding a performance goal" is LWIA performance above the level at which a goal is set, and "failing to meet a performance goal" is LWIA performance below eighty percent of the level at which a particular goal is set.

LWIAs which meet or exceed both customer (participant and employer) satisfaction goals, and meet or exceed at least three of the four Adult performance goals, will be eligible to receive an Adult program incentive award. LWIAs which meet or exceed both customer (participant and employer) satisfaction goals, and meet or exceed at least three of the four Dislocated Worker performance goals, will be eligible to receive a Dislocated Worker program incentive award. LWIAs which meet or exceed both customer (participant and employer) satisfaction goals, and meet or exceed at least five of

the seven Older Youth (19-21)/Younger Youth (14-18) performance goals, will be eligible to receive a YOUTH program incentive award.

Note that the participant/employer customer satisfaction measures act as a local area incentive award 'gate.' That is, a local area which does not meet or exceed its two customer satisfaction measures for a given Program Year reporting period will not be eligible to receive a performance incentive award for that year's performance.

The data reporting "lags" associated with the four Adult, four Dislocated Worker, four Older Youth, and three Younger Youth performance measures are structured to ensure that four full quarters of data corresponding to each of these measures are available for inclusion in the final year-end performance reports.

2. Describe any targeted applicant groups under WIA Title I, the Wagner-Peyser Act or Title 38 USC, Chapters 41 and 42 (Veterans Employment and Training Programs) that the state tracks (sections 111(d)(2), 112(b)(3) and 136(b)(2)(C).

The State will use AJL reports, including the ETA-9002 Quarterly Report, and the WISPR reports, when implemented, to monitor and evaluate Performance Outcomes and Services to Veterans and Eligible Persons and other categories of veterans described under 38 U.S.C. Chapters 41 and 42, to include service-connected Disabled Veterans and Special Disabled Veterans, Campaign Badge Veterans, Transitioning Service Members, Newly Separated veterans, Female veterans, and veterans in other categories designated by the ASVET for tracking and evaluation. Common Measures indicators of performance will be measured against expected measures negotiated with the ASVET.

The State will further use these same AJL reports to monitor and evaluate Performance Outcomes and Services to UI Claimants.

3. Identify any performance outcomes or measures in addition to those prescribed by WIA and what process is the state using to track and report them.

The State has not adopted any additional goals.

4. Describe the state's common data system and reporting processes in place to track progress. Describe what data will be collected from the various one-stop partners (beyond that required by DOL), use of quarterly wage records (including how your state accesses wage records), and how the statewide system will have access to the information needed to continuously improve. (section 112(b)(8)(B))

OWD and partner agencies have developed a common data system which promotes the exchange of individual customer information, enabling partners'

common, real-time access to cross-agency participant information, including services provided, assessment results, referrals made, and length of time in services.

OWD has taken appropriate measures to secure the wage data required for performance measures. We have a contractual agreement with Department of Industrial Relations' Unemployment Compensation Division to provide the wage data. Wage data is also obtained through the Wage Record Interchange System.

Local Area staff enters participant data in the State MIS. The State provides both oral and written instructions to the Local Area staff regarding participant data collecting and data entry. Instructions for collecting participant data are based on the WIA, Federal Regulations, and TEGLs, and other appropriate guidelines.

The State compiles quarterly performance reports for State and Local Areas. Local Areas are provided copies of these report along with an analysis of their performance. WIA performance for PY2007 and 2008 will be assessed in accordance with the Common Measures Policy as stated in TEGL 17-05.

5. Describe any actions the governor and state board will take to ensure collaboration with key partners and continuous improvement of the statewide workforce investment system. (sections 111(d)(2) and 112(b)(1))

Actions will be taken pursuant to the systems previously outlined as detailed in Executive Order 17, in the Career Center Operations Template, and in the Roles and Responsibilities document (Attachments 1, 9, and 5).

6. How do the state and local boards evaluate performance? What corrective actions (including sanctions and technical assistance) will the state take if performance falls short of expectations? How will the state and local boards use the review process to reinforce the strategic direction of the system? (sections 111(d)(2), 112(b)(1), and 112(b)(3))

Actual performance is assessed against the associated negotiated performance goals. Where actual performance is significantly below performance goals, explanations for such deviations may be requested from the local areas.

SANCTION POLICY

WIA Section 136(g) addresses actions to be taken by the State when an LWIA fails to meet performance goals.

A local area which fails to meet three or more of the four Section 133(b)(2)(A) ADULT performance goals, three or more of the four Section 133(b)(2)(B) DISLOCATED WORKER performance goals, five or more of the seven Section 128(b)(2) 18-21 year old Youth performance goals /14-18 year old Youth performance goals, or one of the two Customer Satisfaction goals, has failed to meet its overall goals for the affected program, and will incur sanctions. Note that any LWIA failing to meet its Adult, Dislocated Worker, or Youth annual performance goals is ineligible to receive an incentive award for that year's associated program performance.

A. First Year

Following the first year of failure to meet performance goals, the State shall provide the LWIA(s) with technical assistance (Section 136(g)(1)(A)). Every effort will be made to observe the following sequence of events:

1. Initially, OWD State staff will meet with LWIA representatives to discuss the specific nature of any technical assistance which may be required, to include:
 - a. Onsite technical assistance/program monitoring by OWD Program Integrity Section staff. Intensified monitoring activity should always be triggered by LWIA performance below prescribed levels.
 - b. LWIA staff training sessions, conducted by OWD State staff, USDOL, NGA, or through outside consultants.
 - c. The hiring of a full-time outside consultant to work with the LWIA.
 - d. Facilitating the LWIA's acquisition of information which may help achieve improved performance, e.g., LMI data.
 - e. Temporarily out stationing OWD State staff at the LWIA.

Final decisions regarding the type of technical assistance to be provided will be made by the Director of the Office of Workforce Development. These activities will be funded with Section 133(b)(2)(A), 133(b)(2)(B), and 128(b)(2) set asides.

2. The LWIA will develop and formally submit its corrective action plan to the State. This plan, which will reflect the input of both OWD and LWIA staff, should be designed to have a significant impact on the LWIA's performance during the final two quarters of the PY, i.e., to bring performance up to acceptable levels. OWD may accept or reject the LWIA's submitted corrective action plan.

The LWIA will monthly report to OWD on the progress achieved under the corrective action plan, beginning 45 days following the plan's implementation.

B. Second Year

If the LWIA's failure to meet performance goals extends into a second year, the State shall either withhold up to five percent of the LWIA's Section 133(b)(2)(A) & (B) and Section 128(b)(2) allotment for the next PY, effectively reallocating these funds to the other LWIA's, or, at the discretion of the Governor, impose an LWIA reorganization plan. Should an LWIA reorganization plan be imposed, every effort will be made to observe the following sequence of events:

1. Initial meetings between State and Local Area staff will address the general scope and nature of the LWIA reorganization plan. Among the options considered at this meeting will be specific recommendations from the OWD Program Integrity Section. Such options may include:
 - a. Restructuring the LWIB or designating an entirely new LWIB;
 - b. Prohibiting the use of certain service providers;
 - c. Merging the Local Area with a contiguous Local Area;
 - d. Any other actions deemed necessary to improve Local Area performance.
2. The reorganization plan will be imposed within forty-five calendar days following the State/LWIA meeting. Prior to reorganization plan implementation, the LWIA will be afforded the opportunity to appeal its case before a hearing officer. If the LWIA is dissatisfied with the results of this hearing, it may appeal the reorganization plan directly to the Secretary, observing all relevant procedures governing such an appeal:
 - a. No later than two weeks after the meeting, the LWIA will be notified of the reorganization plan to be imposed. This notification will include information regarding any specific requirements connected with the reorganization plan;
 - b. LWIAs desiring a hearing must file a written request for such within ten days of notification of reorganization;
 - c. Any such hearing will be held within thirty days of receipt of such written request;
 - d. The hearing officer's decision will be transmitted to the State within two weeks following the hearing.
 - e. Within thirty days following the hearing, the State will notify the LWIA, via certified mail, of the results of the hearing and of the State's final determinations regarding LWIA reorganization.
 - f. Should the LWIA be dissatisfied with this decision, it may appeal directly to the Secretary, observing all relevant procedures governing such an appeal.
 - g. Should the Secretary respond favorably to the LWIA's appeal of the Governor's determinations regarding LWIA reorganization, the Governor will convene a hearing, attended by both OWD and LWIA staff, for the purpose of reconsidering the LWIA reorganization strategies.

The second year performance of any LWIA which has failed to meet performance goals for a program year, thus incurring first year sanctions, will be very carefully

monitored by the OWD. If the first two quarters of this tracking suggests that the LWIA's second year performance may result in a second consecutive year of failed performance goals, the State should immediately begin discussions on what form any resulting sanctions would likely take. This careful second year performance monitoring will facilitate the identification and provision of any necessary additional technical assistance.

- 7. What steps, if any, has the state taken to prepare for implementation of new reporting requirements against the common performance measures as described in Training and Employment Guidance Letter (TEGL) 15-03, December 10, 2003, Common Measures Policy. NOTE: ETA will issue additional guidance on reporting requirements for common measures.**

OWD has conducted several Common Measures training sessions with those local area staff primarily engaged in performance reporting. Additionally, State staff have provided local area staff with technical assistance as required to help ensure their uniform application of Common Measure requirements and implementation of Common Measures guidelines.

- 8. Include a proposed level for each performance measure for each of the two program years covered by the plan. While the plan is under review, the state will negotiate with the respective ETA Regional Administrator to set the appropriate levels for the next two years. At a minimum, states must identify the performance indicators required under section 136, and, for each indicator, the state must develop an objective and quantifiable performance goal for two program years. States are encouraged to address how the performance goals for local workforce investment areas and training providers will help them attain their statewide performance goals. (sections 112(b)(3) and 136)**

*Modified,
5/01/07*

(14-21) Youth Common Measure performance goal negotiations are not required for PY 2007. However, Actual PY 2007 and PY 2008 State-level and local area-level performance along these Youth Common Measures (Placement in Employment or Education, Attainment of a Degree or Certificate, and Literacy or Numeracy Gain) will be tracked. PY 2005 and PY 2006 actual performance data covering Wagner-Peyser, WIA Adult, and WIA Dislocated Worker programs will be utilized to help establish base lines for PY 2007 and PY 2008 performance goal negotiations. Proposed PY 2007/PY 2008 performance goals are at Attachment 12.

E. Administrative Provisions

1. Provide a description of the appeals process referred to in section 116(a)(5)(m).

The appeals process described in 116(a)(5) covers appealing designation decision made by the State. The decision may be appealed to the State Workforce Investment Board. Within ten working days of receiving the adverse ruling, the applicant may notify the Workforce Development Division of its intention to file an appeal to the State Workforce Investment Board. Within twenty days after the notice of intent to file an appeal, the applicant must submit their rebuttal arguments. The goal, dependent on the meeting schedule of the State Workforce Investment Board, is to complete the process within 60 days of receipt of the appeal review. Another adverse ruling may be appealed to the Secretary of Labor, who may require that the area be designated as a local area under the Workforce Investment Act.

2. Describe the steps taken by the state to ensure compliance with the nondiscrimination requirements outlined in section 188.

Within the Office of Workforce Development, both the Workforce Development Division (WDD), as the State WIA administrative entity, and the Department of Industrial Relations (DIR) as the State Wagner-Peyser Act administrator, have developed equal opportunity (EO) methods of administration (MOA) to implement the provisions of section 188 and 29 CFR Part 37 (WIA nondiscrimination and equal opportunity regulations). The MOA establishes nondiscrimination policies and procedures that apply to the WDD, DIR, and recipients of WIA Title I financial assistance in the State's WIA programs and activities. The policies and procedures are disseminated to State and local area staff, career center operators, career center partner agencies, training providers, and customers, as appropriate.

The policies and procedures include appointment of Equal Opportunity Officers in the WDD, DIR, and in each local workforce investment area (LWIA). The WDD and DIR EO Officers provide training and technical assistance to State staff, LWIAs and career center staff in implementing nondiscrimination policies and procedures. As applicable, recipients of WIA Title I assistance are required to develop and/or comply with the policies and procedures governing WIA programs, services and activities in the following areas:

- Providing notice and communicating the policy of nondiscrimination in State and local career center system services and activities;
- Including nondiscrimination assurances in LWIA plans, contracts and other financial agreements;
- Ensuring universal access to core services;
- Providing equitable service and ensuring access to people with disabilities;
- Collecting EO-related data and maintaining confidentiality of records, as necessary; and
- To receive and/or refer complaints of discrimination to the WDD.

One grant program the *Navigator Project*, currently pending with the U. S. Department of Labor, is directed toward assessing and improving services to people with disabilities, as well as ensuring continuous system-wide efforts in this regard. The *Navigator Program* is designed to evaluate the status of programmatic and physical accessibility in the Alabama Career Center System, and to provide training regarding disability issues to career center staff.

The WDD, DIR, and LWIA EO Officers monitor recipients, including career centers and training providers, to determine compliance with nondiscrimination policies and procedures.

XI. Assurances

ASSURANCES AND CERTIFICATIONS

1. The State assures that it will establish, in accordance with section 184 of the Workforce Investment Act, fiscal control and fund accounting procedures that may be necessary to ensure the proper disbursement of, and accounting for, funds paid to the State through the allotments made under sections 127 and 132. (§112(b)(11))
2. The State assures that it will comply with section 184(a)(6), which requires the Governor to, every two years, certify to the Secretary, that –
 - a. the State has implemented the uniform administrative requirements referred to in section 184(a)(3);
 - b. the State has annually monitored local areas to ensure compliance with the uniform administrative requirements as required under section 184(a)(4); and
 - c. the State has taken appropriate action to secure compliance with section 184(a)(3) pursuant to section 184(a)(5). (§184(a)(6)).
3. The State assures that the adult and youth funds received under the Workforce Investment Act will be equitably distributed throughout the State, and that no local areas will suffer significant shifts in funding from year to year during the period covered by the Plan. (§112(b)(12)(B).)
4. The State assures that veterans will be afforded employment and training activities authorized in section 134 of the Workforce Investment Act, and the activities authorized in chapters 41 and 42 of Title 38 US Code. The State assures that it will comply with the veterans priority established in the Jobs for Veterans Act. (38 USC 4215)

5. The State assures that the Governor shall, once every two years, certify one local board for each local area in the State. (§117(c)(2))
6. The State assures that it will comply with the confidentiality requirements of section 136(f)(3).
7. The State assures that no funds received under the Workforce Investment Act will be used to assist, promote, or deter union organizing. (§181(b)(7))
8. The State assures that it will comply with the nondiscrimination provisions of section 188, including an assurance that a Methods of Administration has been developed and implemented (§188.)
9. The State assures that it will collect and maintain data necessary to show compliance with the nondiscrimination provisions of section 188. (§185).
10. The State assures that it will comply with the grant procedures prescribed by the Secretary (pursuant to the authority at section 189 (c) of the Act), which are necessary to enter into grant agreements for the allocation and payment of funds under the Act. The procedures and agreements will be provided to the State by the ETA Office of Grants and Contract Management and will specify the required terms and conditions and assurances and certifications, including, but not limited to, the following:
 - General Administrative Requirements:
 - 29 CFR part 97 --Uniform Administrative Requirements for State and Local Governments (as amended by the Act)

-29 CFR part 95 – Uniform Administration Requirement for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

-29 CFR part 96 - Single Audit Act (as amended by OMB Circular A-133)

-OMB Circular A-21 – Cost Principles for Educational Institutions;

-OMB Circular A-87 – Cost Principles for State and Local Governments, Indian Tribes;

-OMB Circular A-122--Cost Principles for Non-Profit Organizations:

-48 FR Part 31 – Cost Principles for Commercial Organizations.

NOTE: OMB Circular A-21, A-122, and A-87 have been incorporated into Title 2 of the Code of Federal Regulations (2 FR, Subtitle A, Chapter II), with Circular A-21 located in Part 220; Circular A-87 in Part 225; and Circular A-87 in Part 230.

- Assurances and Certifications:

- SF 424 B --Assurances for Non-construction Programs

- 29 CFR part 37; 29 CFR § 37.20 Nondiscrimination and Equal Opportunity Regulations and Assurances

- CFR part 93 --Certification Regarding Lobbying (and regulation)

- 29 CFR part 98 --Drug Free Workplace and Debarment and Suspension Certifications (and regulation)

- Special Clauses/Provisions:

- Other special assurances or provisions as may be required under Federal law or

policy, including specific appropriations legislation, the Workforce Investment Act, or subsequent Executive or Congressional mandates.

11. The State certifies that the Wagner-Peyser Act Plan, which is part of this document, has been certified by the State Employment Security Administrator.
12. The State certifies that veterans' services provided with Wagner-Peyser Act funds will be in compliance with 38 U.S.C. Chapter 41 and 20 CFR part 1001.
13. The State certifies that Wagner-Peyser Act-funded labor exchange activities will be provided by merit-based public employees in accordance with DOL regulations.
14. The State assures that it will comply with the MSFW significant office requirements in accordance with 20 CFR part 653.
15. The State certifies it has developed this Plan in consultation with local elected officials, local workforce boards, the business community, labor organizations and other partners.
16. As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws: -- Section 188 of the Workforce Investment Act of 1998 (WIA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I—financially assisted program or activity; -- Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color and national origin; -- Section 504

of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; -- The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and -- Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs. The grant applicant also assures that it will comply with 29 CFR part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I-financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA Title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

17. The State assures that funds will be spent in accordance with the Workforce Investment Act and the Wagner-Peyser Act and their regulations, written Department of Labor Guidance implementing these laws, and all other applicable Federal and State laws and regulations.

PROGRAM ADMINISTRATION AND DESIGNEES AND PLAN SIGNATURES

Name of WIA Title I Grant Recipient Agency: Alabama Department of Economic and Community Affairs

Address: P.O. Box 5690
Montgomery, AL 36103-5690
Telephone Number: (334) 242-5300
Facsimile Number: (334) 242-5855
E-mail Address: Steve.Walkley@adeca.Alabama.Gov

Name of State WIA Title I Administrative Agency (if different than the Grant Recipient)

Alabama Office of Workforce Development
Address: P.O. Box 5690
Montgomery, AL 36103-5690
Telephone Number: (334) 242-5300
Facsimile Number: (334) 242-5855
E-mail Address: Steve.Walkley@adeca.Alabama.Gov

Name of WIA Title I Signatory Official: Bill Johnson

Address: P.O. Box 5690
Montgomery, AL 36103-5690
Telephone Number: (334) 353-5690
Facsimile Number:
E-mail Address: Bill.Johnson@adeca.Alabama.Gov



Name of WIA Title I Liaison:

Dr. Tim Alford

Address: P.O. Box 5690
Montgomery, AL 36103-5690
Telephone Number: (334) 353-1490
Facsimile Number:
E-mail Address: Tim.Alford@adeca.Alabama.Gov



Name of Wagner-Peyser Act Grant Recipient/State Employment Security Agency:

Alabama Department of Industrial Relations
Address: 649 Monroe Street
Montgomery, AL 36131
Telephone Number: (334) 242-8990
Facsimile Number: (334) 242-3690
E-mail Address: Director@dir.state.al.us

PROGR

AM ADMINISTRATION AND DESIGNEES AND PLAN SIGNATURES

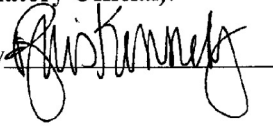
Name of WIA Title I Grant Recipient Agency: Alabama Department of Economic and Community Affairs

Address: P.O. Box 5690
Montgomery, AL 36103-5690
Telephone Number: (334) 242-5300
Facsimile Number: (334) 242-5855

Name and Title of State Employment Security Administrator (Signatory Official):

Address: 649 Monroe Street
Montgomery, AL 36131
Telephone Number: (334) 242-8990
Facsimile Number: (334) 242-3690
E-mail Address: Director@dir.state.al.us

Phyllis Kennedy



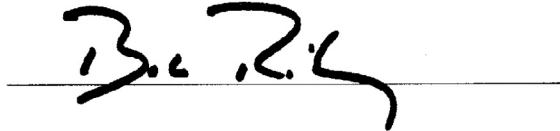
As the Governor, I certify that for the State of Alabama, the Agency and officials designated above have been duly designated to represent the State/Commonwealth in the capacities indicated for the Workforce Investment Act, Title I, and Wagner-Peyser Act grant programs. Subsequent changes in the designation of officials will be provided to the U.S. Department of Labor as such changes occur.

I further certify that we will operate our Workforce Investment Act and Wagner-Peyser Act programs in accordance with this Plan and the assurances herein.

Type name of Governor:

Bob Riley

Signature of Governor/Date:



Attachments:

1. Executive Order 17
2. Organization Chart
3. State Workforce Investment Board Members
4. Workforce Development Strategic Plan
5. Roles and Responsibilities
6. Regional Advisory Councils – Map
7. Career Centers – Map
8. Waiver Summary
9. Career Center Operations Template
10. Grievance Procedures (WIA)
11. Full Collaboration Model
12. Proposed Performance Goals
13. Key to Acronyms

EXECUTIVE ORDER NUMBER 17

WHEREAS, improving Alabama's system of workforce development is a primary goal of State government; and

WHEREAS, there are a number of existing executive agencies directly responsible to the Governor which have rights, powers, duties, and responsibilities that involve, in significant part, employment and training and development. Streamlining and consolidating the functions of certain of these agencies into a single agency offers the opportunity to realize significant cost savings, eliminate redundancy and simplify the organizational structure of the Executive Branch, improve accessibility and accountability, provide more efficient use of specialized expertise and facilities, reduce administrative support, and promote more effective sharing of best practices and state of the art technology, among other things; and

WHEREAS, strengthening Alabama's system of workforce and economic development to build a highly skilled and globally competitive workforce throughout the State is a primary goal of State government; and

WHEREAS, State government must continue to improve the effective utilization of existing resources in support of workforce and economic development to significantly reduce fragmentation and duplication of effort.

NOW THEREFORE, based upon considerations, and for other good and valid reasons which relate thereto, I, Bob Riley, Governor of the State of Alabama, by virtue of the authority vested in me by the Constitution and laws of the State of Alabama, do hereby direct the consolidation of the administration of federal and state workforce development activities by creating the Office of Workforce Development. This Executive Order replaces EO#17 dated December 30, 2003.

BE IT ORDERED that the Governor shall appoint a Director of the Office of Workforce Development, who shall serve at his pleasure and a Workforce Planning Council to develop, administer and coordinate the implementation of a comprehensive State Plan for Workforce Development to be approved by the Governor with input from the State WIA Board. The Council shall be composed of the Director of the Office of Workforce Development, the Chancellor of Postsecondary Education, the Director of the Alabama Department of Economic and Community Affairs, the Director of the Department of Industrial Relations, the Director of the Alabama Development Office, the Commissioner of the Department of Human Resources, the Director of the Alabama Industrial Training Institute, the State Superintendent of Education or their respective designees and two at-large members appointed by the Governor, one of whom shall be the president of an Alabama public two-year college and the other representing Alabama business and industry. The chairperson of the Planning Council shall be the Chancellor of Postsecondary Education.

BE IT FURTHER ORDERED that all the powers, duties, rights and responsibilities related to workforce development vested in the Alabama Department of Economic and Community Affairs with respect to administration of the federal Workforce Investment Act of 1998 and any subsequent reauthorization and all liabilities arising therefrom and transferred to the Office of Workforce Development.

BE IT FURTHER ORDERED that all the powers, duties, rights and responsibilities of other units of State government and programs under the direction of the Governor whose responsibility it is to provide workforce development and/or training within the State including, but not limited to those not vested in statute, and all liabilities arising therefrom are transferred to the Office of Workforce Development.

BE IT FURTHER ORDERED that personnel in the Alabama Department of Economic and Community Affairs, and other units of State government who are assigned directly or indirectly programs transferred by this Executive Order shall continue their services within the Office of Workforce Development. While such transferred employees shall receive no change in grade or pay, their roles and responsibilities may change subject to the discretion of the Director.

BE IT FURTHER ORDERED that , whenever any provision of an Executive Order or any Act or section thereof transferred by this Executive Order provides for membership on any council, commission, board or other entity, the Director of the Office of Workforce Development or his/her designee(s) shall serve in that place. IF more that one such commission/director is required by law to serve on any council, commission, board or other entity, an equivalent number of representatives of the Office of Workforce Development shall so serve.

BE IT FURTHER ORDERED that all unexpended balances of appropriations, grants, and contracts, including all federal, state, and other funds or allocations for the past program years ending June 30, 2003 and past fiscal years ending September 30, 2003 of the programs transferred by this Executive Order from the Alabama Department of Economic and Community Affairs, and other units of State government and programs affected by this Executive Order to the Office of Workforce Development shall be transferred to the Office of Workforce Development. All funds, including federal, state, and other funds appropriated, granted, or contracted to Alabama Department of Economic and Community Affairs, and other units of State government and programs effected by this Executive Order for the program years beginning July 1, 2003 and fiscal years October 1, 2003 shall be transferred to the Office of Workforce Development for its use under the same terms and conditions as specified by any act, grant, or contract, or as otherwise specified by law. All books, records, papers, documents, property (real and personal), and pending business pertaining to the rights, powers and duties transferred by this Executive Order from the Alabama Department of Economic and Community Affairs, and other units of state government and programs effected by this Executive Order to the Office of Workforce Development, including but not limited to material in electronic or magnetic format and necessary computer hardware and software, shall be delivered to the Office of Workforce Development pursuant to the direction of the Director of the Office of Workforce Development, although the Office of Workforce Development shall remain an administrative arm of the Alabama Department of Economic and Community Affairs.

BE IT FURTHER ORDERED that the rights, powers, and duties transferred to the Office of Workforce Development by this Executive Order shall be vested in and shall be exercised by the Office of Workforce Development. Each act done in exercise of such rights, powers, and duties shall have the same legal effect as if done by the Alabama Department of Economic and Community Affairs, or other affected units of State government and programs, their officers or employees thereof as it pertains to the programs transferred by this Executive Order.

BE IT FURTHER ORDERED that this Executive Order shall not affect any act done, ratified or canceled or any right occurring or established or any action or proceeding had or commenced on an administrative, civil or criminal cause regarding a unit of State government effected by this Executive Order as it pertains to the programs transferred before this Executive Order takes effect, but such actions or proceedings may be prosecuted an continued by the Office of Workforce Development.

BE I T FURTHER ORDERED that, as soon as practicable hereafter, the Office of Workforce Development shall revise and clarify the rules transferred to it under this Executive Order to reflect the reorganization of rights, powers and duties affected by this Order. The parent state agency of the Office of Workforce Development may propose and adopt such other rules of the reorganized agencies that will now be administered by the Office of Workforce Development and approved by the Legislative Council where applicable.

BE IT FURTHER ORDERED that the Office of Workforce Development shall operate in full cooperation with the Department of Postsecondary Education which shall be the primary, but not sole, provider of workforce education and training.

BE IT FURTHER ORDERED that, if any provision of this Executive Order or its applications to any person or circumstance is held invalid by any court of competent jurisdiction, this invalidity does not affect any other provision or application of this Executive Order which can be given effect without the invalid provision or application. To achieve this purpose, the provisions of this Executive Order are declared to be severable.

BE IT FURTHER ORDERED that this Executive Order shall become effective immediately upon its execution and shall remain in effect until amended or modified by this Governor.

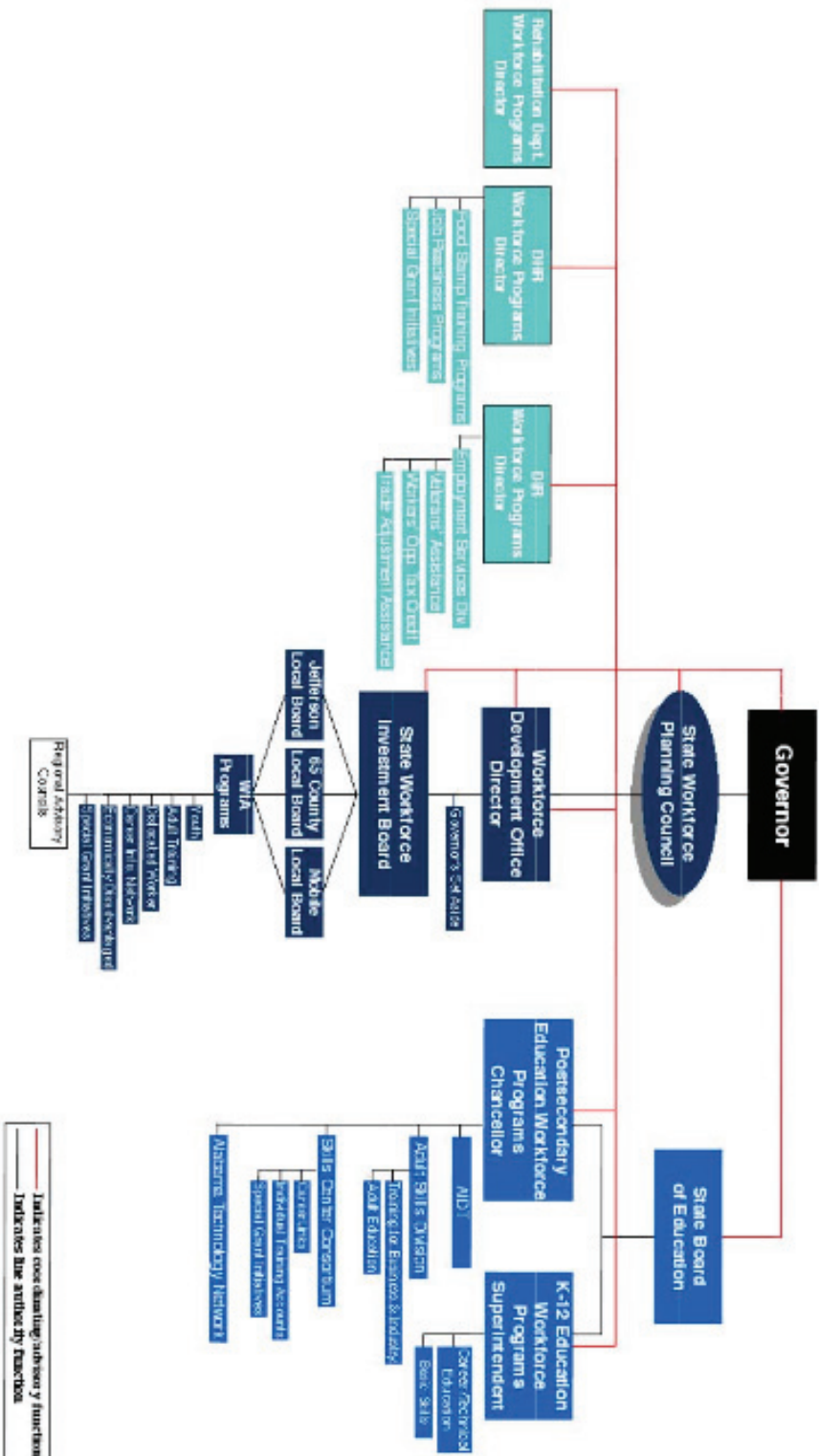
DONE AND ORDERED this _____ day of February, 2004.

Bob Riley
Governor

Attested:

Nancy L. Worley
Secretary of State

Alabama Workforce Development System



**Alabama Workforce Investment Board
Membership by Category**

1. **The Governor:** Bob Riley
2. **Two members of each chamber of the State legislature to be appointed by the presiding officer of each chamber:**

TBD Alabama Senate	TBD Alabama Senate
<u>Terry Spicer</u> Alabama House	<u>Elwyn Thomas</u> Alabama House
3. **Representatives of Labor organizations who have been nominated by state labor organizations:**

Stewart Burkhalter - AFL-CIO: Montgomery
4. **Representatives of individuals and organizations that have experience with youth activities:**

Connie Harper, Central Alabama O.I.C.: Montgomery
Edward Lane, C.I.T.Y. Program: Talladega
5. **Representatives of individuals and organizations that have experience and expertise in delivery of workforce investment activities including CEOs of community colleges and community-based organizations in the State:**

Ed Castile - Alabama Industrial Development Training: Montgomery
Cary Cox – Auburn Training Connection: Auburn
James Glasgow – NW Shoals Community College: Phil Campbell
Elaine Jackson – Urban League: Birmingham
Aaron McCall – Faith in Action: Hayneville
Susan Miller – Shelton State Community College: Tuscaloosa
Denny Smith - Calhoun State Community College: Decatur
James Witte – Auburn University: Auburn

6. Representatives of the WIA required One-Stop Partners:

Tim Alford, Office of Workforce Development
Mechill Coel – Migrant Workers-Telemon Corporation
Frank Coiro – Job Corps: Montgomery
Irene Collins - Department of Senior Services
Renee Culverhouse - Department of Postsecondary Education
Don Fisher – Department of Industrial Relations
Bill Johnson, - Department of Economic and Community Affairs
Vicki Johnson – Native American Programs, Ala InterTribal Council
Phyllis Kennedy - Department of Industrial Relations
Steve Shivers - Department of Rehabilitation Services
Page Walley - Department of Human Resources

7. Other such representatives and head agency officials as the Governor may designate:

Bob Higgins – Economic Development: Robertsdale
Joe Morton – State Department of Education
William “Sonny” Ryan – District Judge: Greensboro
Joe Thomas – Juvenile Justice: Pell City
Neal Wade - Alabama Development Office: Montgomery

8. Chief Elected Officials:

Bob Lunsford (for Commissioner Jim Cairns): Birmingham
Mayor Sam Jones: Mobile

9. Private Sector Representatives:

Steve Adams – Saint-Gobain Vetrotex: Russellville
Tim Beasley – Briggs & Stratton: Auburn
Glen Camp - HB&G Building Products: Troy
Lucia Cape – HSV Chamber: Huntsville
Stan Chavis - State Farm Insurance: Mobile
George Clark – Manufacture AL: Montgomery
Ron Collins – CMC Steel: Birmingham
Sam Covert – Alabama Power: Mobile
James Dedes – Shelby County EDIDA: Pelham
Rosemary Elebash – NFIB: Montgomery
Bernell Fowler – Kinro Corporation: Double Springs
Lacy Gibson - Alabama Hospital Association: Montgomery
Tom Green – Army Fleet Services: Fort Rucker
J. Wayne Hall – Bowater Newsprint: Coosa Pines
Al Heffernan – Ciba Specialty Chemicals: McIntosh

Grover Johnson – Pettus Mechanical Services: Muscle Shoals
Marguerite Kelley – 3M Corporation: Guin
Phillip Kelly - Michelin Tire: Dothan
Vicki Keys – Coffee Health Group: Florence
Lester Killebrew – Henry County Farm Center: Abbeville
Greg Kimble - Hyundai Motors Manufacturing: Montgomery
Allen Knight – Door Components: Haleyville
John Leigeber – Gorbel: Pell City
Byron McCain – CEFA: Birmingham
Linda Miller – Mercedes: Tuscaloosa
Larry Owen – Commercial Printing: Selma
Matt Parker - Dothan Area Chamber of Commerce, Dothan
Mike Reynolds - BroadSouth Communications: Selma
Tucson Roberts – Covington County EDA: Andalusia
Michelle Rumpf : Mobile Chamber of Commerce: Mobile
Christie Sellers – Montgomery Chamber of Commerce: Montgomery
Mickey Simmons – Alabama Electric Cooperative: Andalusia
Chuck Smith – Gulf States Paper: Demopolis
Kenneth J. Tucker - The Boeing Company: Huntsville
Steve Turkoski - Dothan Chamber of Commerce: Dothan
Victor Vernon – BCA: Montgomery
Teresa Walker – Kappler: Guntersville
Alison Wingate – Alabama Retail Association: Montgomery
Bob Woods – Alabama Power: Jasper

Alabama Workforce Development System Strategic Plan

Executive Summary:

Achievement Goals, Implementation Strategies, and Supporting Initiatives

GOAL I: To design a comprehensive, market-driven, performance-based workforce development system that is based on labor market analysis and serves as a vital resource which readily adapts to dynamic occupational and economic demands.

Strategy IA: Obtain and utilize good information on workforce development needs, trends, and issues at state and regional levels

Initiative IA1	Appoint LMI Task Force to determine need/available information.
Initiative IA2	Regionalize Labor Market Information.
Initiative IA3	Review Alabama Manufacturers Association Workforce Survey.
Initiative IA4	Review Existing business and Industry Commission recommendations.
Initiative IA5	Review AFL-CIO Reports on Alabama Workforce Needs.
Initiative IA6	Review Synchronist data.
Initiative IA7	Review related national literature and research-based best practices.
Initiative IA8	Implement Census Bureau Local Employment Dynamics (LED) programs.
Initiative IA9	Review Alabama Development Office's list of new and expanding industries.
Initiative IA10	Establish Workforce Development Regional Advisory Councils.
Initiative IA11	Obtain information on perceived local trends, issues, and needs from Regional Advisory Councils..
Initiative IA12	Secure input on perceived trends, issues, and needs from state and local workforce boards.
Initiative IA13	Convene job forecasting conference and publish results.
Initiative IA14	Conduct state summit of one service sector and one manufacturing sector high-growth, high-demand industries to assess needs and develop related action plans.
Initiative IA15	Establish state and regional lists of high-growth, high-demand occupations/occupational clusters and related skill sets.
Initiative IA16	Establish communication network among state agencies, workforce boards, and regional councils related to labor market information.

GOAL II: To design and implement organizational structures and programs based on best practices.

Strategy IIA: Define roles, relationships, and responsibilities of major workforce development partners a federal, state, and local levels.

Initiative IIA1 Review literature on best practices in state organizational structures.

Initiative IIA2 Develop, adopt, and disseminate organizational structure and written description of roles, relationships, and responsibilities of major workforce development partners.

Strategy IIB: Review and apply best practices in organizational and program design and development.

Initiative IIB Review research and best practices literature, attend appropriate professional development conferences, engage in appropriate national groups related to applying best practices to program design and development.

Initiative IIB2 Design, implement, and evaluate programs and activities based on input

GOAL III: To fully integrate a workforce development system that unites Alabama's educational services, employment services, and economic development resources into a streamlined delivery system.

Strategy IIIA: Design and develop structures that enhance integration of the workforce development system

Initiative IIIA1 Develop a Workforce Development Planning Council as a collaborative entity to write comprehensive state strategic plan based on input from workforce boards and other appropriate constituencies.

Initiative IIIA2 Establish MIT/IT Task Force to study and recommend IT systems that enhance appropriate information sharing, efficiency, and effectiveness among workforce partners.

Initiative IIIA3 Continue and enhance work of One-Stop Career Center Integration Committee.

Initiative IIIA4 Continue and enhance cross-training of Career Center personnel.

Initiative IIIA5 Continue and expand co-location and integration of Career Center agencies at One-Stops.

Initiative IIIA6 Continue and expand application of State Workforce Board Best Practices Template for One-Stop Career Centers.

Initiative IIIA7	Continue and expand direct communication/integration among K-12/Career Tech, postsecondary, business and industry, Office of Workforce Development and other major workforce partners.
Initiative IIIA8	Develop and implement a statewide articulation agreement between K-12 Career Tech and two-year colleges.
Initiative IIIA9	Work with State Board of Education and Superintendent to develop criteria and implement a technical diploma for high school graduates.
Initiative IIIA10	Develop and pilot a career/technical dual enrollment program between K-12 and postsecondary schools.
Initiative IIIA11	Provide professional development experiences for secondary and postsecondary school counselors related to career opportunities for the new gray-collar technician.

GOAL IV: To become a recognized leader and partner in economic development by providing employers with valuable services which enhance their opportunities for growth and by providing job seekers with education, training, and related services which enhance their employability.

Strategy IVA: Develop and implement programs for workers in distress.

Initiative IVA1	Implement ongoing Dislocated Worker program in compliance with Department of Labor guidelines.
Initiative IVA2	Implement ongoing Rapid Response Team program for workers affected by closings/layoffs in compliance with Department of Labor guidelines.
Initiative IVA3	Implement ongoing employment service, unemployment insurance and workmen's compensation programs in compliance with Department Industrial Relations guidelines.
Initiative IV.A.4	Implement ongoing Trade Adjustment Assistance in compliance with Department of Labor guidelines.
Initiative IV.A.5	Implement ongoing Temporary Assistance for Needy Families workforce training programs in compliance with Department of Human Resources guidelines.
Initiative IV.A.6	Implement ongoing programs for training, retaining, and providing workplace accommodations for workers with disabilities in compliance with Department of Rehabilitation Services guidelines.
Initiative IV.A.7	Review WIA/SDE youth programs and determine priorities for in-school and out-of-school youth.
Initiative IV.A.8	Develop special initiatives for economically distressed areas.
Initiative IV.A.9	Develop and implement a coordinated plan for workers in distress as a result of Hurricane Ivan and other natural disasters.

Strategy IV.B: Develop and implement programs to enhance competitiveness of employers and promote economic development.

- Initiative IV.B.1** Implement ongoing Incumbent Worker Training Program in compliance with OWD guidelines.
- Initiative IV.B.2** Implement ongoing Training for Business and Industry Program in compliance with Department of Postsecondary Education guidelines.
- Initiative IV.B.3** Implement ongoing Career/Tech programs in compliance with State Department of Education guidelines.
- Initiative IV.B.4** Develop and expand Focused Industry Training in compliance with Department of Postsecondary Education guidelines.
- Initiative IV.B.5** Develop and expand programs to recruit, screen, and train employees for new and expanding businesses and industry in compliance with Alabama Industrial Development Training guidelines.
- Initiative IV.B.6** Integrate the Alabama Technology Network into the Workforce Development System to provide services that meet documented needs of existing businesses and industries.
- Initiative IV.B.7.** Develop Regional Centers of Excellence in Workforce Education and Training to meet the documented workforce needs of regional high-growth industry clusters including maritime industries in the Mobile region and aviation technicians in southeast Alabama.
- Initiative IV.B.8.** Develop an Interagency Quick Response Task Force to assess needs and design programs which require a rapid, innovative response to a nontraditional workforce crisis or opportunity.
- Initiative IV.B.9** Maintain industry certification of all secondary career/tech programs.
- Initiative IV.B.10** Seek industry certification of all postsecondary technical programs.
- Initiative IV.B.11** Expand use of WordKeys and other certification tools for entry-level diagnosis and exit-level certification of workforce education, training and placement programs.
- Initiative IV.B.12** Using the job of industrial maintenance technician, develop a model articulated recruitment, education, training, and placement program.
- Initiative IV.B.13** Establish Task Force of Work Ethics to determine best practices and develop programs/activities for teaching work maturity behavior to youth and adults.
- Initiative IV.B.14** Develop and implement a plan to assist small businesses through a business services approach to Career Center programs.

Strategy IV.C: More closely align programs and activities of the economic development and workforce development communities.

- Initiative IV.C.1.** Conduct two sessions of the Department of Labor developed workshops on linking economic and workforce development for 100 leaders in respective fields.

Initiative IV.C.2 Incorporate Location Quotient data into Labor Market Information and conduct regional workshops on appropriate usage.

Initiative IV.C.3 Assist Regional Councils in aligning regional economic development and workforce development plans.

Strategy IV.D: **Secure appropriate external funding.**

Initiative IV.D.1 Expand role of Office of Workforce Development External Funds Task Force to monitor external funding opportunities and assist with development of proposals.

Strategy IV.E: **Maintain accountability.**

Initiative IV.E.1 Meet or exceed all performance measures as established by the Department of Labor for Workforce Investment Act programs.

Initiative IV.E.2 Adopt and monitor achievement of performance standards/benchmarks for other (non-WIA) workforce development programs and activities.

Initiative IV.E.3 Expend all funds in compliance with legal, ethical, fiscal, and programmatic requirements.

Initiative IV.E.4 Prepare and disseminate an annual Report of Workforce Development System initiatives, achievements, and outcomes.

Strategy IV.F: **Simplify processes.**

Initiative IV.F.1 Establish Task Force to review system processes/procedures to ensure simplicity/user friendliness to the greatest degree possible.

GOAL NO. V **To establish a comprehensive marketing plan which communicates the enhanced services that the Workforce Development System provides the state's employers and employees.**

Strategy V.A **Constitute an inter-agency marketing team to develop comprehensive program.**

Initiative V.A.1 Bring together media and public relations personnel from partners and from State WIB committee.

Initiative V.A.2 Determine various workforce development audiences and related messages.

Initiative V.A.3 Determine appropriate media by which to best delivery messages to various audiences/stakeholders.

Initiative V.A.4 Determine resources needed / available.

Initiative V.A.5 Implement marketing plan as resources allow.

Initiative V.A.6 Award contract for statewide marketing campaign to One-Stop Career Centers with employers as the primary audience.

Alabama Workforce Development System Roles and Responsibilities

Governor: is the chief executive officer of the state workforce system and is responsible for providing leadership and oversight through his office and through his position as chairman of the State Board of Education. He approves the State Plan for Workforce Development and appoints the Director of the Office of Workforce Development.

State Workforce Planning Council: is responsible for receiving input from the various agencies, boards, and constituencies of the workforce system and for developing a State Plan for Workforce Development based upon that input and upon analysis of labor market information. The Plan must be in compliance with the Workforce Investment Act and other applicable state and federal laws, rules and regulations. The Plan is presented to the Governor for his review, revision, and approval. The Planning Council is also responsible for assessing and promoting coordination of the agencies involved in funding and implementing the State Plan. The Planning Council is constituted as outlined in Executive Order No. 17. The members are the Director of the Office of Workforce Development, and Chancellor of Postsecondary Education, the Director of the Alabama Department of Economic and Community Affairs, the Director of the Department of Industrial Relations, the Director of the Alabama Development Office, the Commissioner of the Department of Human Resources, the Director of the Alabama Industrial Training Institute, the State Superintendent of Education, or their respective designees and two at-large members appointed by the Governor, one of whom shall be the president of an Alabama public two-year college and the other representing Alabama business and industry.

Workforce Development Office Director: is responsible for representing the Governor on issues related to workforce development and for providing general leadership, oversight, and coordination of the state workforce system on behalf of the Governor. The Director has authority over those programs, personnel and activities funded under the Workforce Investment Act and located in ADECA. WDD of ADECA is under this authority with ADECA serving as fiscal agent only. Any and all other authority formerly vested in the Director of ADECA is transferred to the OWD.

State Workforce Investment Board: is responsible for advising the Governor and the State Workforce Planning Council on the development of the State Plan for Workforce Development. The State Board is also responsible for designating local workforce areas, approving an annual report, and reviewing performance data.

Local Workforce Investment Boards: are responsible, in partnership with the chief local elected officials, for providing general leadership, oversight, and governance of the workforce development system in the local area in compliance with applicable state and federal policies and regulations. They are responsible for identifying eligible training providers and for approving the annual general program budget for their respective areas. The local boards are also required to approve contracts with service providers for the local areas.

State Board of Education: is responsible for providing leadership, oversight, and for developing policies, programs, and budgets for career/technical education in the state's K-12 and postsecondary systems.

Chancellor, Department of Postsecondary Education: is the chief executive officer of the Alabama College System and provides leadership and oversight to all programs, including those related to workforce development. He chairs the State Workforce Planning Council.

Superintendent, Elementary-Secondary Education: is the chief executive officer of the K-12 public school system throughout the state which provides programs related to career education as well as technical education. The Superintendent of Education serves on the State Workforce Planning Council.

Department of Industrial Relations: contains the Divisions of Employment Services, Unemployment Compensation, Labor Market Information, Hearings and Appeals, Workers Compensation, and State Programs. These divisions are primarily responsible for workforce security programs, but the Employment Services Division is responsible for some workforce development programs, including Veterans' Assistance, Worker's Opportunity Tax Credit, and Trade Adjustment Assistance. Employment Services is also a major partner in the One-Stop Career Centers throughout the state. The Director of the Department of Industrial Relations is a member of the State Planning Council.

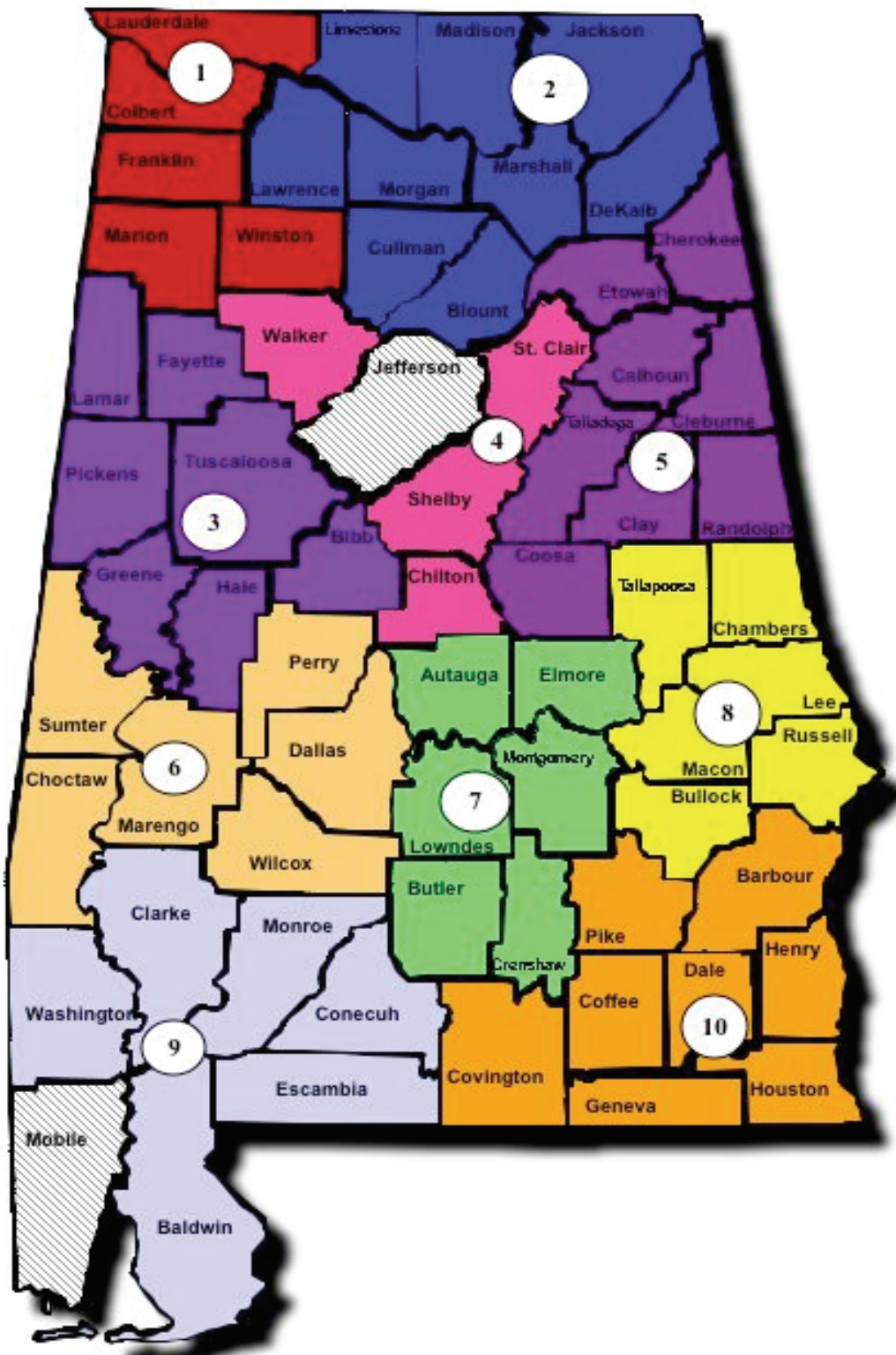
Department of Human Resources: is involved in the Workforce Development System through its Food Stamp Training Program and its Job Readiness Program. The Director is a member of the State Planning Council.

Department of Rehabilitation Services: is involved in the Workforce Development System as a contractor of services for its clients who seek education and training for job preparation. The Director is a member of the State Planning Council.

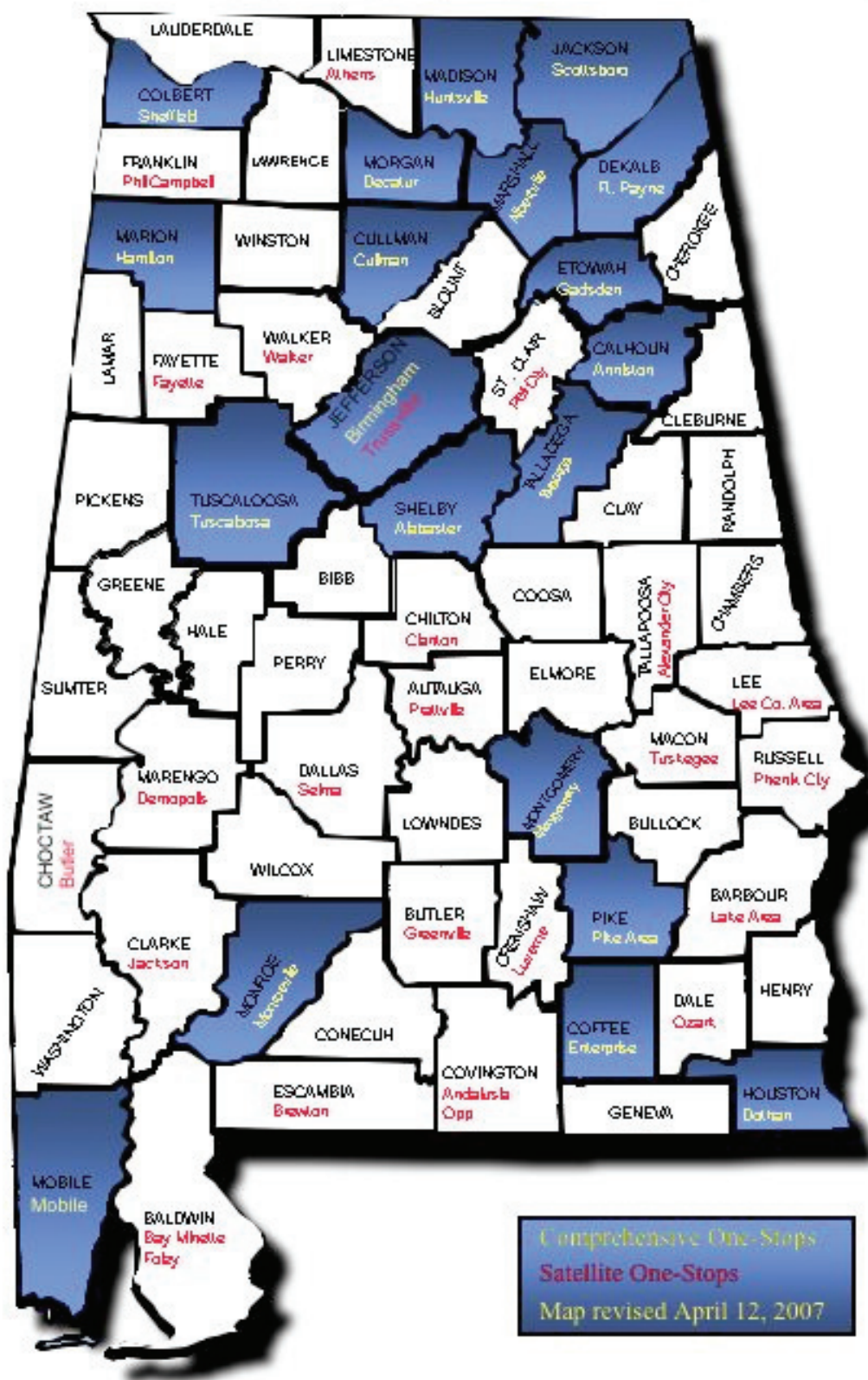
One-Stop Centers: are the primary vehicles for local assessment and referral to information and/or services in the Workforce Development System.

Regional Advisory Councils: gather and analyze regional labor market information, demographics, and other pertinent data to inform the state workforce development system of regional need, concerns, issues, priorities, and related action plans.

Alabama Workforce Development
Regional Advisory Councils

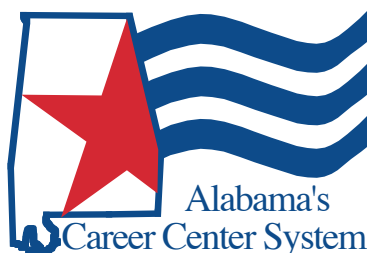


ALABAMA'S ONE-STOP CAREER CENTERS



Alabama: Request for Extension of Approved WIA Waivers

Waiver Request	State Action/Date	USDOL Action/Date
Per TEGL No. 13-06, request an extension through June 30, 2009, of the approved WIA Section 133(b)(4) regulatory waiver of WIA Adult and Dislocated Worker program funds transfer authority, which increases such transfer authority to one hundred percent of allocated funds. This waiver currently is in effect through June 30, 2007.	Waiver extension request submitted to USDOL, April, 2007.	Pending
Per TEGL No. 13-06, request an extension through June 30, 2009, of the approved WIA Section 134(a)(3)(A)(iv)(I) regulatory waiver to allow the transfer of up to fifty percent of Rapid Response funds to WIA Statewide Activities, i.e., provide additional incumbent worker program funding. This waiver is currently in effect through June 30, 2007.	Waiver extension request submitted to USDOL, April, 2007.	Pending
Per TEGL No. 13-06, request an extension through June 30, 2009, of the approved WIA Section 134 regulatory waiver of the language restricting to the State level the authority to provide those activities described in Section 134, i.e., allowing local areas to provide incumbent worker training. This waiver is currently in effect through June 30, 2007.	Waiver extension request submitted to USDOL, April, 2007.	Pending
Per TEGL No. 13-06, request an extension through June 30, 2009 of the approved WIA Section 111(b) waiver permitting the restructuring of State Board membership composition requirements along H.R. 1261 specifications.	Waiver extension request submitted to USDOL, April, 2007.	Pending
Per TEGL No. 13-06, request an extension through June 30, 2007 of the approved WIA Section 134(d)(4) regulatory waiver of WIA service providers' period of initial eligibility. This waiver is currently in effect though June 30, 2007.	Waiver extension request submitted to USDOL, April, 2007.	Pending



Alabama's Career Center System Operations Template

The vision we share is to build a workforce development system in Alabama which addresses and serves the workforce development needs of its employers and workers.

Career Center Advisory Committee. In order to assure that collaboration among not only the partner agencies has occurred, but also collaboration with private sector employers within the community, each Career Center will have a Career Center Advisory Committee. This Advisory Committee must include all partners agencies and have at least an equal number of private sector employers. The purpose of the Advisory Committee will be to provide recommendations for services, activities, marketing, and outreach efforts in the Career Center's area of operations. These Advisory Committees should meet not less than once per quarter, but more frequently when needed. In Mobile and Jefferson Counties, the Local Workforce Investment Boards serve these roles in addition to other roles.

Cross Awareness Training. It is essential for all Workforce Development Partners to participate in Cross Awareness Training. Each partner agency should train the staff of other partner agencies on the services and activities which are provided by his/her agency. In this way, each staff person in the Career Center will be better able to refer employers and workers to the appropriate activity(ies) and services. Cross Awareness Training should be held frequently, as staff member and services and activities change. It is good to better understand what your partners are doing.

Customer Satisfaction. Each Career Center must have a customer feedback system to determine how customers feel about the physical structure, about how they were treated by staff, if any problems were encountered, what was wrong, and what was right. This should be an ongoing process and should be conducted by each Career Center. One questionnaire should cover all partner agencies. This information should be reviewed by the Career Center Advisory Committee and changes should be recommended accordingly.

Collocation. While collocation is not required by law, it is by far the most effective way to reach the objectives of a Career Center, including integration of staff and customer choice. Collocation eases the process of cross awareness training, thereby enhancing collaboration among staff. To facilitate collocation, each partner that is not collocated at present should ensure that it has a clause in its lease, which allows it to escape from the lease for the purpose of collocation into a Career Center.

Partners. The minimum partners for each comprehensive Career Center should be the WIA Title I entity, Employment Security, Adult Education, and Rehabilitation Services. Other partner agencies should be collocated as feasible.

Satellite Career Centers. Those offices, which do not have all the partner above, but do have two or more of the required partner entities and have a resource area with information on a wide variety of workforce development programs and services, may be deemed to be a Satellite Career Center with the approval of the Workforce Development State Partner Group.

Resource Area. Each Career Center should have a resource area I which computers are available for resume preparation and Internet access for job search. The resource area should also contain a wide variety of printed material on community resources; workforce development activities, programs, and services, including services provided by partner agencies and those provided by non-partner agencies.

Monthly Reports. A monthly report is due to the ADECA/Workforce Development Division for each month on the fifth working day of the following month. This report should provide the number of persons seen by each partner in the Career Center, the number who used the Resource Area only, and the total number of persons who used the Career Center during the month.

Putting the Customer First. Career Centers have two primary sets of customers: employers and job seekers. Career Centers must constantly look for ways to improve services to customers and avoid any policies that do not keep customer service as the goal.

“Kiddie Corner”. Each Career Center should have an area designated for use by the children of customers who are visiting the Career Center. It should have small tables and chairs, games, and books available for use by the children. This is not a requirement to have full-time day care for customers.

Career Center Names. Many of the Career Center names are difficult to locate in a telephone listing because the name does not include the name of the town/city in which the Career Center is located. In the interest of being able to locate the telephone listing for a given Career Center, each career center should be listed under “Alabama’s Career Center System,” followed by the place name, such as “Alabaster”, or “Mobile”.

Telephone Listing. Each Career Center should have a telephone listing for the career center, as indicated above, in addition to any listing for each partner agency. Any marketing done will be for the Career Center and not for the individual partner agency, so the career center listing will be what a customer attracted by marketing efforts will be looking for. Each Career Center should, at a minimum, have a listing in the white pages of the telephone book as well as a yellow page listing under the heading, “employment agencies”.

Signage. Each Career Center and satellite Career Center should have a main sign prominently displayed on the front of the Career Center building, which says, “Alabama’s Career Center System”, and includes the full color (red, white, and blue) logo. This main sign should not have other information such as partners listed on it. If there is a sign between the front of the building and the street, it should contain the same name and logo. This is needed for statewide recognition for Alabama’s Career Center System.

Revised November 14, 2003, per State Workforce Investment Board Executive Committee

WIA Section 181(c) Grievance Procedures

I. Guidelines for Local Workforce Investment Area Grievance Procedures Under the Workforce Investment Act (WIA)

Scope and Purpose

Each local workforce investment area in the Alabama Workforce Investment System must establish and maintain grievance procedures. The procedures must provide for resolution of grievances or complaints from participants and others affected by the local workforce investment system, including complaints about WIA Title I-funded programs and services administered by One-Stop partners and service providers. Local area procedures should include a process for referring grievances and complaints related to One-Stop partners' programs (non-title I-funded) to the appropriate partner agency.

Local area grievance procedures must be designed to resolve grievances or complaints that allege violations of Title I of WIA. Employee grievances or complaints related to terms and conditions of employment will be handled according to procedures established by employers. Discrimination complaints will be handled according to procedures established under WIA regulations at 29 CFR Part 37. Complaints involving criminal fraud, waste, abuse or other criminal activity will be handled according to procedures established under the Department of Labor's Incident Reporting System (20 CFR §667.630).

References

WIA sections 181(c) and 188(e); 20 CFR §667.600; and 29 CFR §§37.25(d), 37.70-37.72, and 37.77.

General Requirements

At a minimum, local area grievance procedures must include the following elements.

- **Notice.** A method of notifying participants and other interested parties of grievance procedures and their rights to use the procedures. Reasonable efforts must be made to ensure that information is available to and understandable by participants and others, including persons of limited-English speaking ability, youth, and persons with disabilities that might affect their ability to read, hear or otherwise access information regarding grievance and complaint procedures.

Local areas must provide information about their grievance and complaint procedures to subrecipients, service providers, and One-Stop partners, and must ensure that every entity to which they award title I funds notifies participants of the grievance and complaint procedures.

- **Time Limits.** Grievances and complaints, except those alleging discrimination, must be filed within one (1) year of the alleged violation.
- **Records.** All records of grievances and complaints (e.g., documentation of informal resolution, investigation reports, hearing records, etc) will be maintained for no less than three (3) years from the date of final resolution.
- **Confidentiality.** Local areas will ensure that complaints, actions taken, and the identity of complainants will be kept confidential to the maximum extent possible, unless disclosure is essential to a fair determination.

- **Prohibition Against Retaliation.** It is a violation of WIA Section 184 (f) to discharge or in any other manner discriminate against an individual because that individual has filed a complaint, instituted a proceeding under Title I, or testified in a proceeding or investigation under or related to Title I.
- **Due Process.** Local areas must ensure due process in the administration of their grievance procedures. At a minimum, the elements of due process include notice and opportunity to be heard.
- **Other Remedies.** Local area grievance and complaint procedures may not prevent an aggrieved person or complainant from pursuing remedies under other Federal, State, or local laws.

Specific Elements Required in Local Area Procedures

- Opportunity for informal resolution and a hearing within sixty (60) days of the date a grievance or complaint is filed.
- Opportunity for an individual alleging a labor standards violation to submit the grievance to a binding arbitration procedure when an applicable collective bargaining agreement provides for such.
- Opportunity to appeal to the Alabama Department of Economic and Community Affairs (ADECA), Workforce Development Division (WDD) when (1) the local area does not issue a decision within sixty (60) days; or (2) either party to the complaint is dissatisfied with the local area decision. Appeals should be mailed within ten (10) days of receipt of an unsatisfactory decision or of the date by which the complainant should have received a decision to
Director
Workforce Development Division
Office of Workforce Development
401 Adams Avenue
PO Box 5690
Montgomery, Alabama 36103-5690.
- Local areas must identify at least one person in each career center who will be able to answer customers' questions about grievance and complaint procedures, to refer aggrieved persons to appropriate partner programs, and to assist customers who wish to file complaints.

Local Workforce Investment Area Role in Discrimination Complaint Procedures

No person in the United States may be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with any WIA Title I-funded program or activity based on that person's race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries only, citizenship or participation in a WIA Title I-financially assisted program or activity (29 CFR § 37.5). Any person who believes that he/she, or any specific class of persons, has been or is the object of discrimination that is prohibited by WIA may file a written complaint, either by him/herself or through a representative, with the Office of Workforce Development (OWD), WDD Equal Opportunity Officer or the Director, Department of Labor, Civil Rights Center.

Receipt of Discrimination Complaints

Discrimination complaints filed in-State, including those involving local area activities, will be received and processed only at the State-level by the ADECA Workforce Development Division. However, local workforce investment areas may be requested/required to assist in State-led investigations and resolution efforts.

Local area grievance and complaint procedures must include a method of informing participants and others affected by or interested in local workforce investment area programs, activities and services of discrimination complaint procedures. At a minimum, local areas must inform participants, service providers, One-Stop partners, and other customers affected by or interested in local workforce investment area programs, activities and services of the right to file, and where and when to file discrimination complaints.

LWIAs should maintain records of any discrimination complaints they or their recipients refer to the WDD.

Where to File Discrimination Complaints: The complainant has the option of filing a written complaint with either

Lillian Patterson
Equal Opportunity Officer
Workforce Development Division
Office of Workforce Development
401 Adams Avenue
PO Box 5690
Montgomery, Alabama 36103-5690
(334) 242-5300 (Voice)
(334) 242-2408 (TDD) or
dial 711 for Alabama Relay Center TTY

or

Director
Civil Rights Center
U.S. Department of Labor
200 Constitution Avenue NW
Room N-4123
Washington, DC 20210

When to File: Discrimination complaints must be filed within 180 days of the alleged violation, unless the Director, Civil Rights Center, extends the time for good cause shown.

II. WIA State-Level Grievance Procedures **Office of Workforce Development** **Workforce Development Division**

Scope and Purpose

State-level procedures are established to resolve grievances and complaints that allege violations of title I of the Workforce Investment Act (WIA), regulations (20 CFR Parts 660-671), grants, or other agreements under WIA. The procedures are available to participants and other interested parties affected by Alabama Workforce Investment System statewide programs and activities. Statewide activities are those administered by, or otherwise conducted on behalf of, the Office of Workforce Development (OWD), Workforce Development Division (WDD). Statewide activities include, but may not be limited to, rapid response activities for dislocated workers; certification of eligible training providers; dissemination of (1) a State list of eligible training providers, (2) a list of eligible providers of youth activities, (3) information identifying eligible OJT and customized training providers, and (4) provider performance and cost information; incumbent worker training; evaluations for continuous improvement; provision of incentive grants; technical assistance to local areas that do not meet performance measures; assistance in establishing and operating one-stop systems; assistance to local areas with high concentrations of eligible youth; and operation of a fiscal and management accountability system.

State-level procedures are also established to receive and resolve appeals of decisions made by local workforce investment areas.

These grievance and complaint procedures do not apply to the following areas. Refer to the documents cited in parentheses, WIA regulations, or other directives for information about complaints and grievances in these areas.

- Complaints related to terms and conditions of employment from employees of the WDD, local workforce investment areas (LWIAs), or other WIA recipients (see specific employer's personnel policies and procedures).
- Non-designation of local areas (see applicable Governor's Workforce Development Directive [GWDD]).
- Denial/termination of training provider eligibility (see applicable GWDD).
- Audit disputes (see ADECA Audit Policy).
- Discrimination complaints (see attachment 3, this Directive)
- Complaints of fraud, abuse, or criminal activity in WIA programs and activities (see Department of Labor (DOL) Incident Report Procedures).

Retaliation Prohibited: It is a violation of WIA §184 (f) for any WIA recipient to discharge, discriminate against, or otherwise unlawfully deny any individual a benefit to which he/she is entitled under WIA title I because that individual files a complaint, institutes or causes to be instituted any proceeding under WIA title I, or testifies in any such proceeding.

Notice

All participants in Statewide programs and activities will be given a copy and an explanation of the OWDD WDD ***WIA Grievance and Complaint Procedures Form (WDD-24)*** at the time of application/registration. A signed and dated copy of the WDD-24 must be maintained in each participant's file. When grievance and complaint procedures are explained and/or made available in an alternative format to vision-impaired applicants/participants, the alternative format, name of person who explained/provided the procedures, and the date must be recorded in the participant's file.

Career Centers will provide grievance and complaint information to applicants and other WIA customers upon request, or will make such information otherwise available.

Filing and Content of Complaints

Service providers (including training providers), employers, and career center staff will make every effort to resolve grievances informally and immediately (within ten [10] days) after being notified of a grievance. When a grievance or complaint is not resolved informally, an aggrieved customer or complainant may send a written complaint to

Lillian Patterson
Equal Opportunity/Grievance Officer
Office of Workforce Development
401 Adams Avenue
PO Box 5690
Montgomery, Alabama 36103-5690.

The written complaint should include (1) a statement of the grievance/complaint, including relevant dates; (2) the complainant's name, address, and telephone number; (3) the name, title, and address of the person against whom the complaint is filed (respondent); (4) the complainant's signature; and (5) date of the written complaint.

The date of filing of any complaint is the date the written complaint is received in the OWD Workforce Development Division.

Receipt and Resolution

Step 1 – Acknowledgement: The WDD Equal Opportunity (EO)/Grievance Officer will acknowledge receipt of complaints in writing within five (5) days to the complainant, respondent, and other parties, as appropriate. If the complaint is not accepted (e.g., OWD WDD does not have jurisdiction), the complainant will be notified within five (5) days including referral to the appropriate agency.

Step 2 – Informal Resolution: The WDD EO/Grievance Officer (or other WDD staff assigned by the Division Director) will continue to try to resolve the grievance/complaint informally. Informal resolution attempts may include investigation, Informal mediation, or other methods.

If resolution is achieved by informal means, all parties to the complaint will be notified in writing of the resolution, including any agreements or corrective actions. The WDD EO/ Grievance Officer (or other WDD staff assigned by the WDD Division Director) will monitor implementation of and compliance with agreements and/or corrective action plans. The complaint will be closed according to the terms of any agreement or corrective action plan, but in any case, no later than 60 days after receipt of the grievance or complaint.

If informal resolution is not possible, the WDD/EO Officer (or other staff assigned by the Division Director) will notify the complainant and other parties and a hearing will be scheduled.

Step 3 – Hearing: The WDD Director will assign one or more hearing officer(s). The hearing process will include the following elements:

- ❖ written notice to all parties of the date, time, and place of the hearing; the name(s) of the hearing officer(s); and the issues to be decided;
- ❖ the right to a fair and impartial hearing;
- ❖ the right, at the complainant's expense, to be represented by counsel;
- ❖ the right to present evidence and witnesses;
- ❖ identification of parties involved and in attendance at the hearing;

- ❖ opportunity to question witnesses and other parties involved;
- ❖ written report of findings and recommendations from the hearing officer(s) to the WDD Director;
- ❖ written decision from the WDD Director to the complainant, respondent, and other parties, as appropriate, within 60 days of receipt of the complaint.

Step 4 – Appeals to the Secretary of Labor. Under the following conditions, a complainant and/or respondent may appeal a WDD decision to the Secretary of Labor and will be notified of that right in the WDD's written decision or by other means, as necessary:

- ❖ If the WDD does not issue a decision within 60 days of receipt of a grievance or complaint, either party to the complaint may appeal to the Secretary of Labor within 120 days of the date the complaint was filed with the WDD.
- ❖ A party to a complaint who receives an adverse decision from the WDD may appeal to the Secretary of Labor within 60 days of receipt of the adverse decision.

- ❖ Appeals to the Secretary must be sent by certified mail, return receipt requested to
Secretary
U.S. Department of Labor
Washington, DC 20210
Attention: ASET

- ❖ A copy of the appeal must be sent at the same time to the opposing party and to
Dr. Helen Parker, Regional Administrator
U.S. Department of Labor
Employment and Training Administration
61 Forsyth Street SW
Atlanta, Georgia 30303

Appeals of Local Workforce Investment Area Decisions

A complainant or respondent involved in a complaint that is filed with a LWIA may appeal to the WDD if:

- ❖ the LWIA does not reach a decision within 60 days of the date a complaint is initially filed; or
- ❖ either party to the complaint is dissatisfied with the LWIA's hearing decision.

Procedures

Step 1 – Filing Appeals of LWIA Decisions: An appeal of a local area decision must be written and submitted within ten (10) days after a complainant receives a decision from the LWIA , or within 10 days of the date he/she/they should have received a decision. The appeal should include (1) a brief statement of the issues in the complaint initially filed with the LWIA; (2) the date the complaint was filed; (3) a brief statement of the LWIA's decision; and (4) the date the complainant received the LWIA's decision. If a complainant does not receive a decision from the LWIA within 60 days of filing a complaint, the appeal should state the date by which a decision should have been received. The appeal should be mailed to

Steve Walkley, Division Director
Workforce Development Division
Office of Workforce Development
401 Adams Avenue
PO Box 5690
Montgomery, Alabama 36103-5690.

Step 2 – Receipt, Review, Decision: Receipt of appeals will be acknowledged within five (5) days. Appeals that are not timely filed will be denied and returned to the complainants, unless the WDD Director waives the time limitation for filing an appeal for good cause shown.

Appeals will be remanded to LWIAs when

- ❖ an appeal is filed before local procedures are exhausted;
 - ❖ a LWIA has failed to follow its grievance/complaint procedures and/or has violated the WIA or its regulations related to grievances; or
 - ❖ a complainant has been denied due process at the local level.
- ❖ The WDD Director will issue a written decision on an appeal of a local level decision within sixty (60) days of receipt of the appeal.
- ❖ Step 3 – Federal-level Appeals:
- ❖ If the WDD Director fails to issue a decision on the appeal within 60 days, either party to the grievance/complaint may appeal to the Secretary of Labor within 120 days of filing the appeal with the WDD (see mailing address in previous section).
 - ❖ Any party to the appeal who/that receives an adverse decision from the WDD may appeal to the Secretary within 60 days of the adverse decision.
 - ❖ Appeals must be sent to the Secretary of Labor by certified mail, return receipt requested. At the same time, a copy must be sent to Dr. Helen Parker, ETA Regional Administrator (see address above), and to the opposing party.

Records: Grievance/complaint records will be maintained for no less than three (3) years from the date of resolution.

III. WIA Discrimination Complaint Procedures **Office of Workforce Development** **Workforce Development Division**

No individual in the United States may be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with any WIA title I-funded program or activity on the basis of that individual's race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries, on the basis of citizenship or participation in a WIA title I program or activity. (WIA §188; 29 CFR Part 37, §37.5)

Any person who believes that he/she or any specific class of individuals has been or is subjected to discrimination prohibited by the Workforce Investment Act (WIA) or the, may file a written complaint, either by him/herself or through a representative. Complainants and respondents (individuals or entities against whom allegations of discrimination are made) have the right to be represented by an attorney or other individual of their choice.

Where to File Discrimination Complaints: The complainant has the option of filing a written complaint with either

Lillian Patterson
 Equal Opportunity Officer
 Workforce Development Division
 Office of Workforce Development
 401 Adams Avenue
 PO Box 5690
 Montgomery, Alabama 36103-5690
 (334) 242-5300 (Voice)
 (334) 242-2408 (TDD) or
 dial 711 for Alabama Relay Center TTY

or

Director
 Civil Rights Center
 U.S. Department of Labor
 200 Constitution Avenue NW
 Room N-4123
 Washington, DC 20210

When to File: Discrimination complaints must be filed within 180 days of the alleged violation, unless the Director, Civil Rights Center, extends the time for good cause shown.

Content of Complaints: Each complaint must be filed in writing and must contain the following information:

- the complainant's name, address and telephone number (or another means of contact);
- the identity of the person or entity the complainant alleges is responsible for the discrimination (respondent);
- a description of the allegations; and
- the complainant's or his/her representative's signature.

Complaint Processing Procedures

The date of a complaint is the date the written complaint is received in the OWD WDD. Upon receipt of a complaint, the WDD EO Officer will determine if the OWD WDD has jurisdiction, and if so, will provide written notice to the complainant within five (5) days that

- acknowledges receipt of the complaint;
- notifies the complainant of his/her right to representation in the complaint process, at his/her expense;
- identifies or restates the issues raised in the complaint;
- states the issues the WDD will accept or reject, including the reason an issue is rejected;
- offers the complainant the option of an investigation or alternative dispute resolution by mediation; and
- notifies the complainant that a *Notice of Final Action* will be issued within ninety (90) days of receipt of the complaint and of appeal procedures if the *Notice of Final Action* is not issued within that time.

If the WDD does not have jurisdiction, the complainant will also be notified within five (5) days.

Investigation

If the complainant chooses to have his/her complaint resolved through investigation, the WDD EO Officer (or other staff assigned by the WDD Director) will conduct an investigation, make efforts to bring the parties to agreement, as appropriate, and make recommendations for resolution and/or corrective actions to the WDD Director.

Notice of Final Action

A written *Notice of Final Action* will be signed and issued by the WDD Director within 90 days of receipt of a complaint. The *Notice of Final Action* will include

- a discussion of the WDD's decision on each issue and the reason(s) for the decision; or
- a summary of the way the parties resolved the issue; and
- notice of the complainant's right to complain to the Civil Rights Center (CRC) within thirty (30) days of issuance of the *Notice of Final Action*, if he/she is dissatisfied with the WDD's final action.

Mediation

The WDD uses mediation as a means of alternative dispute resolution. If the complainant chooses mediation as the means of resolution, a third party mediator, acceptable to both parties, will be selected. Because WIA nondiscrimination regulations (29 CFR §37.76[c][1]) entitle a complainant to choose mediation, any respondent who/that is a recipient of WIA title I funds from the OWD WDD must cooperate in the mediation process.

The complainant and respondent will be notified of the date, time, place, and conditions of the mediation session by the WDD EO Officer or the mediator. All parties must agree to keep the mediation proceedings and any resultant agreements confidential, and not to involve the mediator in any litigation. If the complaint is settled, all parties must sign a written settlement agreement. A *Notice of Final Action* that describes the way the parties resolved the complaint will be issued within 90 days of the date the complaint was filed.

Conditions Under Which Parties to Mediation May File a Complaint with CRC

If any party to the settlement agreement breaches the agreement, the non-breaching party may file a written complaint with the CRC Director within thirty (30) days of learning of the breach.

If the parties do not reach an agreement as the result of mediation, the complainant may file a complaint with the CRC Director and will be so advised.

Records

Complaint logs containing the name and address of the complainant; the date the complaint is filed; the disposition of the complaint and date of disposition will be maintained by the WDD EO Officer.

All records related to complaints and actions taken will be maintained for a period of not less than three (3) years from the date of resolution.

Retaliation and Intimidation

According to 29 CFR Part 37 §37.11, a WIA recipient must not discharge, intimidate, retaliate, threaten, coerce, or discriminate against any individual because the individual has

- filed a complaint alleging a violation of Section 188 of WIA or 29 CFR Part 37;
- opposed a practice prohibited by the nondiscrimination and equal opportunity provisions of WIA or 29 CFR Part 37;
- furnished information to, or assisted or participated in any manner in an investigation, review, hearing, or any other activity related to any of the following:
 - administration of the nondiscrimination and equal opportunity provisions of WIA;
 - exercise of authority under WIA nondiscrimination and equal opportunity provisions;
 - exercise of privilege secured by those provisions;
- otherwise exercised any rights and privileges under the nondiscrimination and equal opportunity provisions of WIA.

Sanctions and penalties may be imposed against any recipient that engages in any such retaliation or intimidation, or fails to take appropriate steps to prevent such activity.

WIA Section 122(g) Grievance Procedures

Appeals of Denial or Termination of Training Provider Eligibility

If a local workforce investment board (LWIB) denies an application for initial eligibility determination from a training provider, the board must provide written notice of the denial, including the reasons for the denial and a description of an appeal process.

Local Appeals

Each LWIB shall develop a written appeal process. At a minimum, the procedures must allow for:

- an opportunity for an informal resolution and a hearing to be completed within 60 days of the filing of the appeal; and
- an opportunity for a local level appeal to the Workforce Development Division when:
 - no decision is reached within 60 days; or
 - the applicant (training provider) is dissatisfied with the local resolution or hearing decision.

State-level Appeal of LWIB Denial/Termination of Training Provider Eligibility

A training provider that does not receive a decision within sixty (60) days of the appeal to the LWIB, or that receives a decision with which the training provider is dissatisfied, may appeal to the Director, Workforce Development Division (WDD). The WDD Director or his designee will allow for a hearing or other method of resolution agreeable to all parties. The hearing or other means of resolution shall be completed and a decision issued within thirty (30) days of receipt of the appeal.

If the training provider or LWIB disagrees with the decision of the WDD Director, either party may appeal to the Director, Office of Workforce Development (OWD). The OWD Director shall review the case and issue a decision within thirty (30) days.

The decision of the OWD Director is final and may not be appealed to the Secretary of Labor.

Appeals of State-Level Denials/Terminations of Training Provider Eligibility

A WDD denial or termination of eligibility, or other enforcement action with respect to a training provider may be appealed. A written request for appeal must be submitted to the Director, Office of Workforce Development, within thirty (30) days of the date of written notice from the WDD to the training provider of denial, termination, or enforcement action. The appeal may be requested by the training provider or the LWIB for the area in which the provider applied or previously operated. The OWD Director or his designee shall review the matter and issue a final decision within sixty (60) days of receipt of the appeal. The decision of the OWD Director is final and may not be appealed to the Secretary of Labor.

ALABAMA YOUTH WORKFORCE INVESTMENT SYSTEM – FULL COLLABORATION MODEL

WIA partners, service providers and other interested parties (business/private sector/non-profits) can interact to establish or improve service in a youth development/workforce investment system (adult, dislocated workers, incumbent workers) and plan for services and activities for customers. We will use every resource available. Presently, all partners are implementing this full collaboration model in their local areas and contiguous areas.

1. **Networking** – Workforce development partners, service providers and other interested partners gain an awareness of available resource and discover how to access or refer customers to those services. This is deemed a starting point but greatly insufficient for the level of impact desired.
2. **Performance-Coordination** – Assists in the selection and scheduling of services in a one-stop or integrated, interagency service delivery system. In coordinating, partners, service providers, and other interested parties arrange for customers to receive specific services from different agencies. In the Performance-Coordination step, agencies determine their respective roles and schedule activities.
3. **Active-Cooperation** – Partners and service providers look for ways to support and complement one another's transition services. Active-Cooperation prevents duplication and saves an agency time and expense.
4. **Full Collaboration** – Begins with networking, coordination, and cooperation and then requires partner and service providers to share decisions, responsibilities, and trust. **Full-Collaboration requires partnerships/service providers to invest time and energy to come up with options and design strategies for carrying out a customer's individual service strategy plan.**

In assembling the Alabama WIA youth progressive collaboration model for the State, we have identified many valuable Faith-Based and community-based resources and service strategies that have been incorporated into our plan. The Jefferson County LWIB will certify four (4) physically located Career Centers in their WIA Youth Opportunity Grant Area. The Mobile LWIB certifies one (1) physically located Career Center. The Alabama Workforce Investment Area will have a minimum of nineteen (19) comprehensive Career Centers and a number of satellite Career Centers. The majority will be where partners are physically located and others will be electronically connected. Counties in this large LWIA will also be electronically connected to the one-stop system.